



NATIONAL ARCHIVES OF AUSTRALIA

# Annual Report 2020–21





**NATIONAL  
ARCHIVES OF  
AUSTRALIA  
AND  
NATIONAL  
ARCHIVES OF  
AUSTRALIA  
ADVISORY  
COUNCIL**

**Annual  
Report  
2020–21**

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Front cover: A school group on tour in the permanent exhibition *Voices / Dhuniai: Federation, democracy and the Constitution*, National Archives of Australia National Office, Canberra, December 2020.

Back cover: The permanent exhibition *Connections / Mura gadi: archives, people, place*, National Archives of Australia National Office, Canberra, December 2020.

## Letter of transmittal

Our reference: 2021/2617

Senator the Hon Michaelia Cash  
Attorney-General  
Parliament House  
Canberra ACT 2600

27 September 2021

Dear Attorney-General

We present to you the annual report on the operations of the National Archives of Australia and the National Archives of Australia Advisory Council for the year ended 30 June 2021.

The report has been prepared for the purposes of section 46 of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act), and subsections 68(1) and 68(2) of the *Archives Act 1983* (Archives Act), which require the National Archives of Australia and the National Archives of Australia Advisory Council to prepare and provide annual reports to you for presentation to the parliament.

The National Archives' annual performance statement has been prepared in accordance with paragraph 39(1)(a) of the PGPA Act and accurately presents the entities' performance for the 2020–21 financial year in accordance with subsection 39(2) of the PGPA Act.

The report includes the National Archives' audited financial statements as required by section 43(4) of the PGPA Act.

We, as the Director-General and Chair, certify that the National Archives has prepared fraud risk assessments and a fraud control plan in accordance with section 10 of the *Public Governance, Performance and Accountability Rule 2014* (PGPA Rule). The National Archives has fraud prevention, detection, investigation and reporting mechanisms that meet our needs and has taken all reasonable measures to deal with fraud relating to the National Archives. No instances of fraud have been identified during the period.



David Fricker  
Director-General



Dr Denver Beanland AM  
Chair, Advisory Council

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## Director-General's review



We commemorate the 60th anniversary of the National Archives of Australia this year. On 23 March 1961, the National Archives became an independent entity and its functions were enshrined in legislation in 1983 with the enactment of the *Archives Act 1983* (Archives Act).

The National Archives is the only Australian Government entity legislated with the task to ensure that the essential evidence of government activity is secured, preserved and made accessible. This unique aspect of the National Archives defines its principal role: to carry Australia's memory from one generation to the next.

In 2020–21, we continued this valuable function amid the COVID-19 global pandemic. It has profoundly impacted on our operations,

but it has also given us opportunity to think differently, to innovate our approaches to the work we do in keeping Australia's national memory alive.

### Engagement

Despite the limitations placed on every Australian by the COVID-19 pandemic, particularly in the first half of 2020–21, the National Archives found ways to provide services and engage with its clients and the community. Understandably, face-to-face engagement decreased this year, however online visitation across all our media platforms increased by more than 502%, and throughout the year we had extraordinary spikes in media attention.

The NAA Members Program was launched in November 2020 to provide new opportunities for Australians to experience their National Archives and join the archives community. For a program just over six months old at the end of the reporting year, it has performed exceptionally well, with memberships approaching 900 by 30 June 2021. I was delighted when Her Excellency Mrs Linda Hurley agreed to become the inaugural NAA Members Program Patron.

This year, we received unprecedented contributions from the public to support the important work of the National Archives. Our gratitude for these donations cannot be understated, as this show of public support affirms the value and importance of the National Archives' role in preserving the nation's historical record.



Most notably, a generous donation from Barbara White of \$1 million will enable the preservation of and access to World War II photographic records in the collection.

We developed *Our Way: Aboriginal and Torres Strait Islander Protocols*, and reaffirmed our commitment to the Tandanya – Adelaide Declaration to build a culturally competent organisation and a way forward in facilitating trust and respect between the National Archives and Aboriginal and Torres Strait Islander peoples, communities and organisations.

## Release of the Tune Review

Assistant Minister to the Attorney-General Senator the Hon Amanda Stoker released The Functional and Efficiency Review of the National Archives (Tune Review) on the 12 March 2021. The Tune Review assessed and made recommendations on the efficiency and effectiveness of all aspects of the National Archives operations, programs, administration, governance and authorising environment.

It affirmed the importance of the national archival collection and recommended a set of actions for the Government and the National Archives. The release of the report generated a high level of commentary from the public and media on the role and resourcing of the National Archives. The Government's response to the Tune Review was released on 19 August 2021.

## Building Trust in the Public Record policy

A major achievement this year was the completion and launch of the National Archives' whole-of-government information policy, Building Trust in the Public Record. The policy was launched for implementation from 1 January 2021 to succeed the Digital Continuity 2020 policy. The policy supports continued improvement in government information and data management capability to meet current and emerging information challenges, and to support broader government priorities such as digital transformation and data use and sharing.

The policy was promoted as part of Information Awareness Month 2021 and through the Agency Advisory Group, the National Archives Government Agencies Information Network (GAIN) forums and newsletters and other channels of communication. I am pleased to report it has been well received.

## Securing preserving and digitising the national archival collection

The national archival collection includes hundreds of millions of records. In physical form, we have papers, photographs, films and audio recordings that occupy some 360 shelf kilometres. In digital form, we have accumulated over 5 petabytes of documents, images and audiovisual content.

For almost 20 years, the National Archives has prioritised digitising its collection to improve accessibility and ensure the long-term preservation of at-risk formats. It has done so through its annual appropriation, specific budget measures and a fee-for-service model. To date just over 7.4% of the collection has been digitised.

National Digitisation and Preservation strategies have been developed to identify priority digitisation projects for both at-risk and high-demand collections. The current focus areas include magnetic tape records and paper records, particularly World War II service records.

## Building organisational strength

The National Archives simplified its corporate governance structures in 2020–21, and we improved our workforce planning with a new Strategic Workforce Plan and capability framework to respond to our workforce needs over the next five years.

We also progressed significant capital works projects to accommodate current and future operational needs. The completion of the film preservation laboratory at Chester Hill, New South Wales, and refurbishment of the digitisation area at the National Archives Preservation Facility in Canberra were major capital works projects this year.

## The year ahead

The year ahead was marked by a joint announcement from the Attorney-General and the Assistant Minister on 1 July 2021 of additional funding of \$67.7 million for the

National Archives to address critical issues over the next four years. The additional funding will allow:

- digitising and preserving the National Archives' at-risk collections over an accelerated four-year digitisation program
- additional staffing and capability to address backlogs for 'access applications' to Commonwealth records and providing improved on-demand digitisation services
- investing in cybersecurity and further development of the National Archives' Next Generation Digital Archive to facilitate secure and timely transfer of records to the National Archives' custody, their preservation and digital access.

The National Archives will work with the Government to implement the agreed recommendations of the Tune Review.

## **PART 1**

# **About the National Archives**

## Purpose, role and functions

### Purpose

The National Archives provides leadership in best practice management of the official record of the Commonwealth, and ensures that Australian Government information of enduring significance is secured, preserved and available to government agencies, researchers and the community.

### Role and functions

The National Archives was established under the *Archives Act 1983* (Archives Act), and is a non-corporate Commonwealth entity (a listed entity) under the *Public Governance, Performance and Accountability Act 2013* (PGPA Act) and an Executive Agency under the *Public Service Act 1999* (PS Act).

The National Archives:

- sets information management requirements for Australian Government agencies
- ensures the Australian Government creates and keeps records of its actions and decisions to demonstrate accountability to the community and as evidence of the integrity of the operations of the Australian Public Service (APS)
- authorises destruction of records with no ongoing value to government or the community
- selects and preserves the most significant records of the Australian Government
- makes these records available to government and the community as a national resource to inform how Australians live today and into the future.

## Guiding principles

### Vision

To be a world-leading archive in this digital age.

### Mission

To connect Australians with their identity and history through our stewardship of Australian Government records.

### Values

- **Service excellence:** Deliver quality and responsive services that meet the needs and expectations of our clients and partners.
- **Leadership:** Strive to be national and international leaders in information management policy, digital transformation, archival collection management and creative public engagement.
- **Innovation:** Look for new and better ways to do business and deliver digital services that are user centred and embrace the future.
- **Responsibility:** Take responsibility for delivering the goals and priorities comprising a transformational program of work.
- **Collaboration:** Work with the public, private and civil society sectors to achieve shared goals and outcomes.

## Accountable authority

The National Archives' accountable authority for 2020–21 was Mr David Fricker as Director-General. Mr Fricker was appointed on 1 January 2012 and reappointed on 1 January 2017 for a further five-year term.

## Outcome and program

The 2020–21 Portfolio Budget Statements set out the National Archives' outcome and program structure, as follows:

- **Outcome 1:** To promote the creation, management and preservation of authentic, reliable and useable Commonwealth records and to facilitate Australians' access to the archival resources of the Commonwealth.
- **Program 1.1:** The National Archives provides stewardship of the records of the Australian Government to provide access to the evidence and memory of our nation, connecting Australians with their identity, history and place in the world.

## Delivery strategies

The National Archives has the following four strategies to deliver its program:

- **Enable** best practice information and data management by Australian Government agencies
- **Secure** and preserve nationally significant Australian Government records (information and data)
- **Connect** Australians to the National Archives and the national archival collection
- **Innovate** to develop the National Archives' capability and capacity to lead archival change in the digital age.

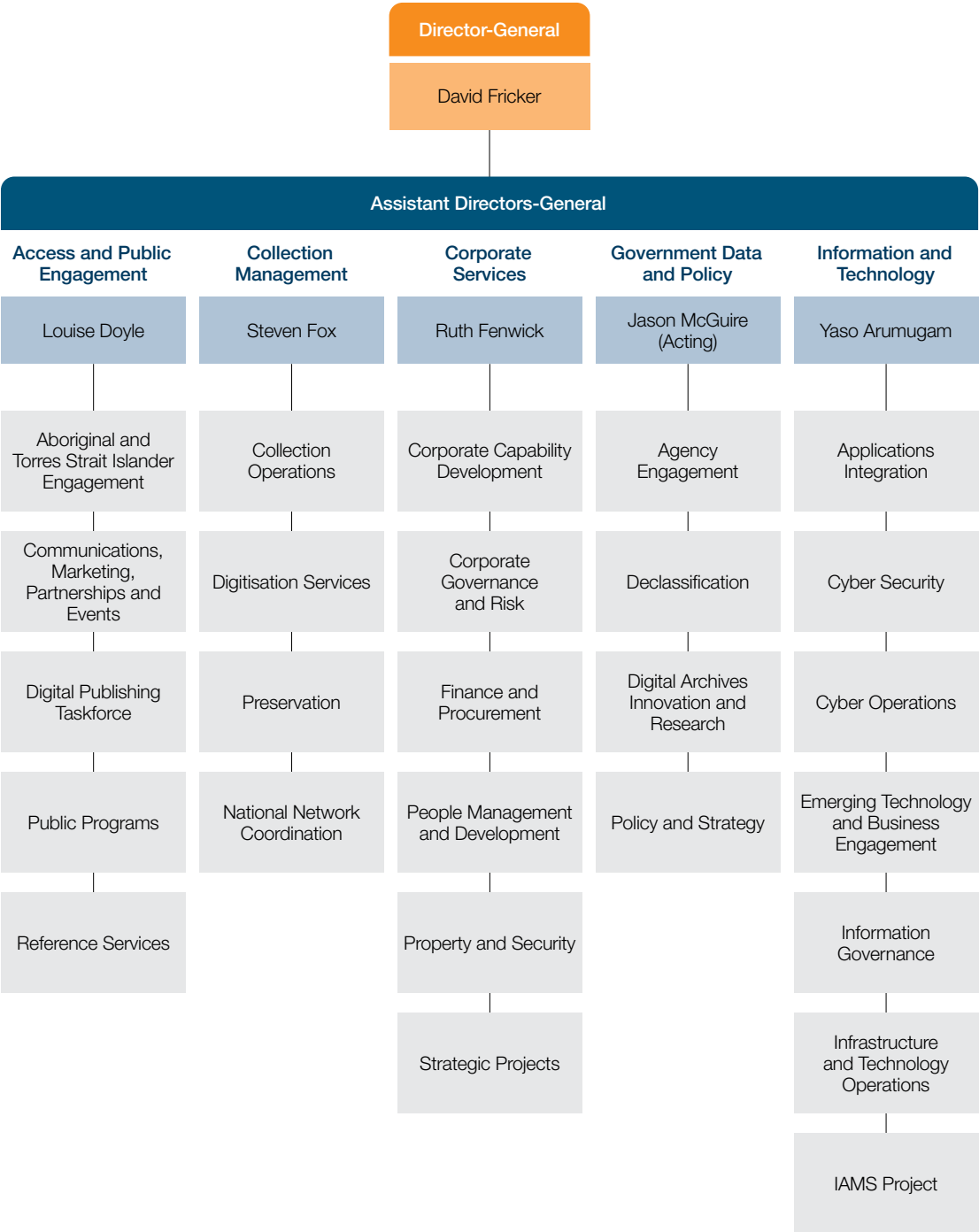
## Organisational structure

As at 30 June 2021, the National Archives operated under a five-branch structure.

The primary function of each branch is summarised as follows:

- **Access and Public Engagement** ensures access to the collection through digital platforms, research centres, reference and description services, education and public programs, exhibitions, publishing, marketing, media engagement, NAA Members Program, partnerships and corporate events.
- **Collection Management** protects records of archival value by transferring them into custody and manages the collection to ensure its authenticity, integrity, preservation, usability and availability.
- **Corporate Services** provides the enabling services of governance, human resources, finance, procurement and property and security management. The Branch also undertakes special corporate projects and capability development.
- **Government Data and Policy** sets whole-of-government information management standards, develops records authorities and related instruments to govern the disposal and retention arrangements for Australian Government records, performs access examination and undertakes research and innovation in digital archival practices.
- **Information and Technology** works towards the National Archives' transformation to a state-of-the-art digital archive, and supports the achievement of strategic goals through services, technology, infrastructure, software and governance of information assets.

Figure 1: National Archives’ organisational structure as at 30 June 2021



## **PART 2**

# **Report on performance**

## Statement of preparation

I, David Fricker, as the accountable authority of the National Archives of Australia, present the National Archives' annual performance statement for the period from 1 July 2020 to 30 June 2021, as required under paragraph 39(1)(b) of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act) and performance measures outlined in the National Archives of Australia Corporate Plan 2020–21 to 2023–24, and as published in the National Archives Portfolio Budget Statements.

In my opinion, the annual performance statement is based on properly maintained records, accurately reflects the performance of the National Archives, and complies with subsection 39(1)(b) of the PGPA Act and section 16F of the *Public Governance, Performance and Accountability Rule 2014* (PGPA Rule).

A handwritten signature in black ink, appearing to read 'David Fricker', with a stylized flourish at the end.

David Fricker  
Director-General  
National Archives of Australia

27 September 2021



## Annual performance statement

The National Archives’ annual performance statement for 2020–21 provides a comprehensive overview of how the organisation performed throughout the year.

### Reporting framework

The National Archives achieves its purpose through one outcome, delivered through a single program, as outlined in the Portfolio Budget Statements (PBS) 2020–21. The annual performance statement provides an analysis of the agency’s performance in 2020–21 against the performance criteria and targets set out in the 2020–21 PBS and 2020–21 to 2023–24 Corporate Plan.

### Performance overview

Table 1 details the National Archives’ results against the six performance criteria set out for 2020–21 in the Corporate Plan 2020–21 to 2023–24 and the PBS 2020–21 (pages 271–88).

**Table 1:** Summary of results against 2020–21 performance criteria

Program 1.1: The National Archives provides stewardship of the records of the Australian Government to provide access to the evidence and memory of our nation, connecting Australians with their identity, history and place in the world.			
Performance criterion	Measure	Target	Result
<b>1</b> The National Archives leads Australian Government agencies in achieving digital continuity and effective management of Australian Government records (information and data) through whole-of-government information policy, standards and advice.	Building Trust in the Public Record policy released to formally take effect from 1 January 2021, with initial supporting implementation guidance.	Building Trust in the Public Record policy and initial guidance released	Achieved
	Qualitative and quantitative evaluation of the effectiveness of information and data management policies to support entities, using survey responses and case studies.	Evaluation of survey	Achieved

Performance criterion	Measure	Target	Result
<b>2</b> Australian Government agencies are surveyed against the Digital Continuity 2020 policy targets and outcomes reported to the Prime Minister and the Minister.	100% of government entities complete an information and data management survey by 30 June 2021, with survey results and progress report published.	100%	Achieved  99% government entities completed survey by 30 June 2021
	Qualitative and quantitative evaluation of Australian Government agencies progress towards Digital Continuity 2020 policy measures of success at the end of the policy period, using survey responses and case studies.	Evaluation	Survey results and progress report published in July 2021
<b>3</b> Information and data of enduring national significance is identified, secured and preserved in the national archival collection.	Improve progress towards sustained comprehensive agency retention and disposal coverage across Australian Government by issuing at least 20 disposal and retention instruments by 30 June 2021.	20 disposal and retention instruments issued	Achieved
	Migration of 450 terabytes of data from fragile platforms to National Archives secure platform by 30 June 2021.	450 terabytes migrated	Achieved
	Qualitative and quantitative evaluation of the programs to identify and transfer information and data of enduring national significance.	Evaluation	Achieved
	Qualitative and quantitative evaluation of the programs to preserve at-risk records in the national archival collection.	Evaluation	Achieved

Performance criterion	Measure	Target	Result
<b>4</b> The national archival collection is accessible, promoted and made available through multiple channels, regardless of original format.	4% annual increase in public engagement with the National Archives.	4%	Achieved
	Qualitative evaluation of the accessibility and engagement with the national archival collection, the channels used and cooperation with other stakeholders, using case studies.	Evaluation	Achieved
<b>5</b> Exploit new and emerging technology, with contemporary approaches to governance, to modernise the operation of the National Archives.	Modernise the National Archives operations through implementation of contemporary governance and new digital management solution by 30 June 2021.	Implementation of governance frameworks	Achieved
	Implement decisions of the High Court ruling.	Records released on 14 July 2020	Achieved
	Implement Tune Review recommendations as agreed by Government.	Implement Tune Review recommendations	Not achieved*
<b>6</b> Design and deliver an integrated end-to-end digital archival solution.	Implement the Integrated Archival Management preservation platform.	Implement the Integrated Archival Management System preservation platform	Achieved
	Qualitative evaluation of integrations and implementation of phases of the Integrated Archival Management System, using case studies.	Evaluation	Achieved

\* As at 30 June 2021, the Australian Government had not released its response to the Tune Review.

# Performance results

## Performance criterion 1

**The National Archives leads Australian Government agencies in achieving digital continuity and effective management of Australian Government records (information and data) through whole-of-government information policy, standards and advice.**

Measures	<ul style="list-style-type: none"><li>• Building Trust in the Public Record policy released to formally take effect from 1 January 2021, with initial supporting implementation guidance.</li><li>• Qualitative and quantitative evaluation of the effectiveness of information and data management policies to support entities, using survey responses and case studies.</li></ul>
Source	Portfolio Budget Statements 2020–21, page 277. National Archives Corporate Plan 2020–21 to 2023–24.
Strategy	Enable best practice information and data management by Australian Government agencies.
Result	✓ Building Trust in the Public Record policy was released to formally take effect from 1 January 2021 with initial supporting implementation guidance.

## Analysis of performance

In November 2020, the Building Trust in the Public Record policy's strategic objectives and three mandatory actions were formally endorsed by the Attorney-General, Minister for the National Archives, and released and published with an effective commencement date of 1 January 2021.

The policy formally took effect on 1 January 2021, with initial supporting implementation guidance provided to agencies. Further supporting policy and guidance advice was released before 30 June 2021. The public release schedule – 'Public Release Schedule 2' – advising on policy and guidance advice for 2021–22 was published on 30 June 2021.

Under Public Release Schedule 1, 32 products were to be delivered in 2021–22. Along with the release of the Building Trust in the Public Record policy, 25 policy and guidance products were finalised and published by 30 June 2021 and seven products were reprioritised for release under Public Release Schedule 2 in the first quarter of 2021–22.

### Case study: Building Trust in the Public Record

In May 2021, the Building Trust in the Public Record policy was formally launched and promoted as part of Information Management Month, the theme for 2021 was 'Building Trust – Adaptability and Capabilities'.

The policy was also promoted through the Agency Advisory Group (a group of information management practitioners the National Archives works with), the National Archives Government

Agencies Information Network (GAIN) forums and newsletters and other channels of communication.

No policy-related survey was conducted to determine the effectiveness of the policy and items early implementation in the first six months of operation. To date there has not been any negative feedback from agencies.

Performance criterion 2

Australian Government agencies are surveyed against the Digital Continuity 2020 policy targets and outcomes reported to the Prime Minister and the Minister.

Measures	<ul style="list-style-type: none"><li>• 100% of government entities complete an information and data management survey by 30 June 2021, with survey results and progress report published.</li><li>• Qualitative and quantitative evaluation of Australian Government agencies progress towards Digital Continuity 2020 policy measures of success at the end of the policy period, using survey responses and case studies.</li></ul>
Source	Portfolio Budget Statements 2020–21, page 277. National Archives Corporate Plan 2020–21 to 2023–24.
Strategy	Enable best practice information and data management by Australian Government agencies.
Result	✓ 99% of government entities in-scope for the Check-up PLUS survey completed the survey. Individual agency reports provided in July 2021 and the whole-of-government summary report published in July 2021.

## Analysis of performance

In 2020–21, the National Archives conducted the final Check-up PLUS survey of information management maturity in Australian Government agencies. Participation in and completion of the survey was a mandatory requirement for agencies under the National Archives' Digital Continuity 2020 policy, with its policy period coming to an end 31 December 2020. The Digital Continuity 2020 policy is now superseded by the Building Trust in the Public Record policy, which took effect on 1 January 2021.

The Check-up PLUS survey analysis indicates a positive trend of an increase in information management maturity across government, with the whole-of-government average maturity score index (out of 5) growing annually: 3.13 in 2018, 3.25 in 2019, to 3.38 in 2020.

Across the six individual maturity areas, digital operations continued to record the highest maturity level (4.22), followed by information creation (3.89), storage (3.6) and interoperability (3.3). These areas also saw the largest increases in index score results between 2019 and 2020. Dimensions with lower maturity levels, including information governance (3.15) and records disposal (2.9), recorded smaller increases in 2020.

The survey results indicate continued progress towards achieving the Digital Continuity 2020 policy objectives with a range of improvements observed across all principles, highlighted by:

- Principle 1 – Information is valued: senior management support digital information management as a business priority (88%, up from 77% in 2019), staff meet

their digital information management roles and responsibilities (66%, up from 54% in 2019).

- Principle 2 – Information is managed digitally: work digitally by default (92%, up from 81% in 2019), continually identify and remove paper from internal and external processes to improve efficiency (79%, up from 71% in 2019).
- Principle 3 – Information, systems and processes are interoperable: ensure new or updated business systems and services have the capacity to manage information in place for its whole life (51%, up from 45% in 2019).

Notwithstanding the positive trend in the survey results and participation, five agencies did not get their survey results verified by their agency head. Two agencies in scope did not participate in the survey.

### Case study: Information management practices during COVID-19 restrictions

During the final 2020 Check-up PLUS survey, the National Archives asked agencies about the impact of COVID-19 on their information management practices. The majority of agencies considered COVID-19 had minimal to no impact (61%) on their agency's information management practices in 2020.

Where agencies noted more significant impacts, these were twice as likely to be positive (26%) as they were to be negative (13%). Positive impacts were more likely to be identified in digital operations and storing information digitally, whereas negative impacts were more likely to be identified

in general information management and information governance.

The majority of agencies (85%) utilised cloud-based storage or services. Uptake of cloud-based storage and services increased at least to some extent for almost half (46%) of agencies as a result of COVID-19, most commonly among larger agencies. Among agencies that use cloud-based storage or services, the most common types of information or systems stored in the cloud include human resources (66%), financial systems (62%) and administrative (59%).

Almost one third of agencies reported that there were certain information management activities that could not be undertaken due to COVID-19. These agencies commonly highlighted work-at-home requirements preventing them from accessing sites where physical records could be transported or disposed of.

In respect to the Digital Continuity 2020 policy, 40% indicated that the policy had a positive impact on their agency's ability to respond to the impact of COVID-19 on information management processes and activities.

On the whole, the survey results demonstrate the agility of the Australian Government agencies to adapt to new ways of working during the COVID-19 restrictions in 2020.



## Performance criterion 3

### Information and data of enduring national significance is identified, secured and preserved in the national archival collection.

<b>Measures</b>	<ul style="list-style-type: none"> <li>• Improve progress towards sustained comprehensive agency retention and disposal coverage across Australian Government by issuing at least 20 disposal and retention instruments by 30 June 2021.</li> <li>• Migration of 450 terabytes (TB) of data from fragile platforms to National Archives secure platform by 30 June 2021.</li> <li>• Qualitative and quantitative evaluation of the programs to identify and transfer information and data of enduring national significance.</li> <li>• Qualitative and quantitative evaluation of the programs to preserve at-risk records in the national archival collection.</li> </ul>
<b>Source</b>	Portfolio Budget Statements 2020–21, pages 277 & 278. National Archives Corporate Plan 2020–21 to 2023–24.
<b>Deliver strategy</b>	Secure and preserve nationally significant Australian Government records (information and data).
<b>Result</b>	<ul style="list-style-type: none"> <li>✓ National Archives continued progress towards comprehensive agency retention and disposal coverage across Australian Government by issuing 23 disposal and retention instruments by 30 June 2021.</li> <li>✓ A total of 368,457 at-risk items were preserved and digitised in 2020–21.</li> <li>✓ A total of 664.56 TB (1,466,142 items) were migrated to secure platforms in 2020–21.</li> <li>✓ A total of 7531 shelf-metres of analogue records and 3.4 TB of digital records were transferred into custody in 2020–21.</li> </ul>

## Analysis of performance

Under sections 3C and 24 of the Archives Act, the National Archives identifies Australian Government records of archival value for permanent retention and preservation, and authorises destruction of temporary value records in agencies, through formal directions known as ‘records authorities’.

This work is done in collaboration with agencies to ensure they have comprehensive disposal and retention coverage in agency-specific and general records authorities. When required, the National Archives issues disposal freezes and records retention notices, which temporarily withdraw permissions for destruction of records given by records authorities.

In 2020–21, the National Archives issued:

- 15 records authorities to individual government agencies
- a disposal freeze on records relating to the Afghanistan Inquiry and the Office of the Special Investigator to address matters raised by the Inquiry
- a retention notice to named agencies on records related to the culture in the workplaces of Parliamentarians and their staff
- an endorsement to apply use of general records authority for one agency
- five ad hoc disposal and retention authorisations upon urgent requests from agencies.

## Preservation

The National Archives has a legislative responsibility to manage, preserve and make accessible the archival resources of the Commonwealth for current and future generations. The preservation of the archival collection occurs through preventive preservation practices, conservation treatments and active digital preservation capabilities. The National Archives leads the development of national preservation standards and policy for archival formats including paper, photographic records and audio-visual material.

The National Archives identifies the categories of items that are most at risk of being lost if they do not receive preservation treatment. Risk factors include hardware and software obsolescence, deterioration of the record medium and storage and handling factors. Priorities are also considered in relation an item’s or series’ significance to researchers and the wider Australian community.

The highest priority formats identified for preservation treatment include:

- magnetic media (obsolete technology for playback and degradation due to hydrolysis)
- nitrate and acetate-based film (degradation due to acetic and nitric acid deterioration)
- colour film and print material (degradation due to dye fade)
- digital file formats (obsolete software)
- documents on poor quality paper (damage through handling).

In 2020–21, the National Archives undertook projects to preserve through digitisation at-risk collections including:

- digitising almost 30,000 items of at-risk audio and video recordings on magnetic media (as part of the Deadline 2025 project)
- repackaging and digitising at-risk nitrate negatives of Italian prisoners of war files dating from World War II.

The National Archives has significantly increased its digital preservation capability through the procurement of a digital preservation system, Preservica, and new enterprise-grade storage. As a part of its digital preservation strategy, all existing preservation digital files are being migrated from ageing platforms to the new secure platform.

### Case study: Deadline 2025

Deadline 2025 is an international call to action for memory institutions such as the National Archives of Australia to save audio and video records contained on magnetic tape that is at risk due to technological obsolescence and degradation. This is a key priority for the National Archives preservation program, which has implemented strategies to support this work since 2015.

To protect this vital cultural heritage from permanent loss, the National Archives completed a project in 2020–21 to digitise 29,241 of the most critically at-risk magnetic tape items. To achieve this, the National Archives contracted bulk digitisation of audio-visual materials and utilised our experienced in-house audio-visual preservation teams to focus on the

digital preservation of more fragile magnetic tape records. In addition to the preservation of these significant records, further benefits from this collaborative project included:

- supporting small business and the development of skills and training in the industry and at the National Archives
- ensuring more digital reference files are available to researchers and the public
- developing collaborative frameworks that can be applied to other projects, especially for hybrid (internal/external) digitisation projects.

### Transfer highlights

The National Transfer Strategy guides development of the national archival collection and prioritises records for transfer in accordance with the National Archives' selection principles. Records at risk, including older records, or those that otherwise meet public demand are also prioritised for transfer under the strategy and supporting implementation plan.

The strategy supports the National Archives' mission to manage, preserve, secure and make accessible information of enduring national significance. There were some notable highlights among transfers to the National Archives in 2020–21.

Approximately 58.5 shelf metres of records from series C5757 (Adastra Airways Pty Ltd – aerial photographs, negatives and indexes) were transferred into the National Archives' Chester Hill facility in New South Wales. These records consist of the original aerial mapping of Australia and Commonwealth territories, including Papua

New Guinea. The series was previously held by the State Library of New South Wales.

A transfer of 8.14 shelf metres of records from the Australian Antarctic Division was finalised during the year. The records depict historic Antarctic expeditions including British Antarctic expeditions between 1901 and 1922, the Australasian Antarctic Expedition (1911–14), British, Australia and New Zealand Antarctic Research Expedition (1929–31) and the Ellsworth rescue expedition (1935–36). These records are now controlled in series A14518 (Photographic glass plates, albums and folders primarily relating to British Antarctic Expeditions and Australian Antarctic Expeditions between 1901 and 1936).

Over 129 shelf metres of cartographic records were transferred from the Great Barrier Reef Marine Park Authority. The records contain geographical information associated with the Great Barrier Reef and include detailed bathymetry measurements of the Coral Sea and tidal measurements and lines over time. These records are controlled in series A14522 (Marine Survey Program Queensland: Historical Marine Survey Maps).

A transfer of 217.5 shelf metres of records was received from the Bureau of Meteorology from series J3164 (Queensland Critical Event Synoptic Weather Charts). The series consists of synoptic charts detailing conditions associated with critical weather events in Queensland since 1958. It provides high-level analysis of weather conditions associated with critical weather events such as tropical cyclones and major flooding and more localised events such as severe thunderstorms and snow fall.

## Performance criterion 4

**The national archival collection is accessible, promoted and made available through multiple channels, regardless of original format.**

<b>Measures</b>	<ul style="list-style-type: none"><li>• 4% annual increase in public engagement with the National Archives.</li><li>• Qualitative evaluation of the accessibility and engagement with the national archival collection, the channels used and cooperation with other stakeholders, using case studies.</li></ul>
<b>Source</b>	Portfolio Budget Statements 2020–21, page 278. National Archives Corporate Plan 2020–21 to 2023–24.
<b>Strategy</b>	Connect Australians to the National Archives and the national archival collection.
<b>Result</b>	✓ Based on quantitative measures and qualitative evaluation public engagement with the National Archives increased during the year.

# Analysis of performance

The National Archives’ public engagement is measured under three streams of activities:

- Onsite: Visitation to National Office and state and territory offices for reference and research services, exhibitions, displays and lifelong-learning and school programs.
- Offsite: Visitation to National Archives’ travelling exhibitions, National Archives’ and partner events held at other venues and print media.
- Online: Visitation to websites, social media, digital and broadcast media, RecordSearch and access and reference requests via online individual interactions.

All areas of public engagement – onsite, offsite and online – were impacted by the COVID-19 pandemic and continued state- and territory-based lockdowns and travel restrictions. See Table 2 for results.

Face-to-face programming, including visitation to exhibitions, lifelong-learning programs,

the school program and Research Centres nationally were lower than anticipated, while online visitation across platforms increased significantly.

The national touring exhibition program was impacted by the COVID-19 travel restrictions. *Spy: espionage in Australia* was due to commence a national tour in May 2020, to visit four venues in Western Australia and Queensland.

The tour was reduced to two Western Australian venues, opening in Geraldton in January 2021 and then in Albany in May 2021. COVID-19 impacted the full tour, with two venues pulling out due to state-based restrictions and program changes.

Digital and broadcast media engagement was significantly higher than in 2019–20 due to the continuing coverage of the High Court of Australia ruling on the Kerr Palace letters in May 2020 and, international media coverage of at-risk records in the national archival collection from March 2021.

**Table 2:** Annual public engagement increase/decrease by streams of activity, 2019–21

Stream	2019–20	2020–21	Increase/decrease
Onsite	93,652	48,611	-48%
Offsite*	111,174	17,379,785	15,533%
Online†	36,106,068	217,425,992	502%
<b>Total</b>	<b>36,310,894</b>	<b>234,854,388</b>	<b>547%</b>

Note: Print (\*) and digital and broadcast (†) media engagement was unusually high in 2020–21 due to media coverage focused on the Tune Review recommendation for increased investment to digitise records at risk of being lost.

Media coverage of the annual Cabinet records release also increased this financial year. This level of media coverage is not expected to continue in 2021–22 and forward years.

### Case study: Website migration

The National Archives has a wide-ranging virtual presence and a diverse set of online offerings including the redeveloped corporate website ([naa.gov.au](http://naa.gov.au)); *Discovering Anzacs* ([discoveringanzacs.naa.gov.au](http://discoveringanzacs.naa.gov.au)), created in partnership with Archives New Zealand Te Rua Mahara o te Kāwanatanga; and *Destination Australia* ([destinationaustralia.gov.au](http://destinationaustralia.gov.au)), a collaboration between the National Archives and the Department of Home Affairs.

This year, the National Archives undertook a significant piece of migration work to bring content from two long-standing websites, *Vrroom* and *Australia's Prime Ministers*, on to the National Archives corporate website. Audiences can now access these popular resources from one digital platform. *Vrroom* has found new life in the 'Learn' section of the website. Researchers can also find fast facts, timelines and records about Australia's prime ministers in a contemporary format in the 'Explore the collection' section.

### Case study: New members program

The NAA Members Program was launched in November 2020 to provide new opportunities for Australians to build close ties with the National Archives – to develop strong community of ambassadors for the work it does, and the memories it preserves in the national archival collection. On 17 November, Director-General David Fricker announced

Her Excellency Mrs Linda Hurley as the inaugural patron of the new program.

The number of memberships was estimated to reach 100 in the program's first year. However, as at 30 June 2021, the number of memberships received was 852. This was largely due to the significant media coverage and messages of support from the public, in response to the release by the Australian Government, of the Functional and Efficiency Review of the National Archives of Australia (Tune Review) on 12 March 2021.

Media coverage largely focused on the Tune Review recommendation for increased investment to digitise records in the national archival collection that are at risk of being lost. The public responded with requests for more information about how they could support this work. Information about these records and on how to support the National Archives was clarified on the corporate website, providing clear pathways such as joining the NAA Members Program, volunteering time, or by making a donation, noting that National Archives has Deductible Gift Recipient status (donations of \$2 or more are tax deductible). The media was given factual information about at-risk records, upon request.

In addition to the higher-than-expected level of membership for the fledgling NAA Members Program, the National Archives also received cash donations totalling \$1,140,672 in public support.

### Case study: Annual Cabinet release

On 15 December, the National Archives hosted its annual flagship records release event, the embargoed media briefing for the release

of key records of government after 20 years. This year was the Howard Cabinet of 2000.

Guest speaker John Anderson (former Deputy Prime Minister) shared his recollections of the issues and challenges Cabinet was grappling with, its decision and achievements and the personalities around the table. Cabinet historian Dr Christine Wallace's presentation and associated essay, gave valuable context to the Cabinet records and the year.

The Cabinet records and the work of the National Archives received extensive media coverage following the public release of the 2000 Cabinet records on 1 January 2021, with over 1463 media reports reaching an estimated audience of nearly 14.9 million between 1 and 15 January 2021.

### Case study: Aboriginal and Torres Strait Islander Cultural Protocols

The National Archives developed *Our Way: Aboriginal and Torres Strait Islander Protocols* in 2020–21 to be implemented over the next five years, in line with its Aboriginal and Torres Strait Islander Strategy and Implementation Plan and relevant organisational strategies.

The National Archives embraces emerging developments across archives internationally, and *Our Way* has been developed in line with the United Nations Declaration on the Rights of Indigenous Peoples and the International Council on Archives' Tandanya – Adelaide Declaration of 2019.

*Our Way* sets out clear actions under five overarching thematic protocols:

- **Leadership:** Leadership at all levels ensures that services and activities are culturally appropriate.
- **Rights:** Recognise that records may contain Aboriginal and Torres Strait Islander traditional and cultural knowledge.
- **Access:** Engage in two-way relationships – National Archives to individuals and communities and communities to the National Archives.
- **Authority:** Ensure related collections are handled, stored, preserved and accessed in a culturally respectful and appropriate manner.
- **Acknowledgement:** Express recognition of Aboriginal and Torres Strait Islander peoples as the first peoples of Australia.

These protocols aim to build a culturally competent organisation that will foster trust and respect between the National Archives and Aboriginal and Torres Strait Islander peoples, communities and organisations.

### Reference services

The National Archives' reference service performed strongly in 2020–21, despite challenges posed by ongoing COVID-19 restrictions. It has remained responsive, and found innovative solutions to problems, to ensure the delivery of reference services continue, onsite at its National Office and state offices as well as online.

The reference service responded to over 57,000 collection inquiries, welcomed over 4500 visitors to research centres Australia-wide and facilitated



access to over 86,000 original records. Online, 2,966,325 digital records were accessed via RecordSearch.

Entitlement enquiries from Australians requesting access to records to enable them to seek government or other assistance due to the impact of COVID-19 continued to be prioritised.

### **Case study: Climate History Australia research project**

The National Archives provided ongoing support to the Climate History Australia research project, which is reconstructing Australia's climate over past centuries.

The project's research team has accessed climate records held in National Office, Canberra as well as New South Wales, South Australia, Tasmania and Western Australia offices. Weather records from Western Australia and South Australia were transcribed by citizen scientists engaged by the project.

The transcribed data has been used to piece together climate variability and extremes, leading to a better understanding of climate history and assisting scientists to estimate Australia's vulnerability to climate change, now and into the future.

### **Case study: Collection description**

Describing the national archival collection continues to be a priority. During the year, over 756,000 individual records were described and made accessible to researchers via the online database RecordSearch.

Significant records described include those documenting immigration to Australia after World War II, applications for Australian citizenship from the 1980s and army pay records from World War II.

Description activity was complemented by the contributions of committed volunteers, facilitating:

- over 183,000 transcribed record titles online via the archHIVE platform
- detailed analysis of approximately 13,000 previously inaccessible technical ship drawings and specifications
- continued transcription of the content of Cabinet notebooks from the 1950s
- repackaged and described immigration records relating to the Port of Sydney dating from 1951.

### **Community outreach**

In 2020–21, the National Archives hosted regular community outreach activities online and, where COVID-safe, onsite at its national and state offices and at other venues. Highlights include 'Quarantine and the Spanish Flu', which was presented via Zoom from the Queensland Office in March 2021 for the Queensland Family History Society.

In August 2020, a seminar on Tasmanian immigration records was presented at the Tasmanian Office, as well as a tour of the repository, as part of Libraries Tasmania's National Family History Month program. The Researching Aboriginal Family History workshop was held in May 2021 in partnership with the Koorie Heritage Trust,

Public Record Office Victoria and State Library of Victoria.

In April, 100 undergraduate students from the Australian National University visited the National Office for a seminar on security and intelligence records, including a viewing of original records and tour of the permanent exhibitions. The NSW Office hosted visits from the University of Sydney to view records of the Commonwealth Reconstruction Training Scheme.

And in June, the seminar ‘You’ve got mail: Western Australia postal records at the National Archives’ was presented at the Western Australia Office for the Rockingham Historical Society, and ‘We the undersigned: petitions in the archive’ was presented at the South Australia Office for the Muslim Women’s Association of South Australia.

### School program

National Archives’ school program at the National Office, Canberra, aligns with the Civics and Citizenship curriculum for Years 5/6 and 9/10. It comprises school tours that can be booked over three days of the week.

The National Archives was one of the initial partners in the National Capital Education Tourism Program’s Book Canberra Excursion online portal. As a result, there has been an increase in awareness of the National Archives as a potential Tier Two option for visiting schools. Tier Two institutions enable visiting schools to remain eligible for the PACER program rebate even though they have not been able to visit a required Tier One institution.

Student engagement with the National Archives was limited by ongoing COVID-19 restrictions in 2020–21. The school program only recommenced at the end of January with 1593 students participating by 30 June 2021. Due to COVID-19 restrictions, schools in states – apart from NSW (58%) and Victoria (42%) – cancelled their Canberra trip this financial year.

Despite these limitations, feedback on the program from students and teachers has been overwhelmingly positive, with comments such as, ‘It’s a privilege that only school groups get to see the Constitution and Royal Commission of Assent. The teacher had never seen her students that engaged before, and the presenter was amazing at explaining difficult concepts to kids’.

Tour activities are designed to actively engage students in mechanisms of government, to provide a better understanding of their place in a culturally diverse Australia. Activities include a dictation test given to potential migrants between 1901 and 1958 and a primary-source analysis to promote understanding on how to read archival records, and use them to interpret Australia’s past.

### Access examination

Records are released in response to applications for access from the public, or as part of the National Archives’ program of proactive release. In 2020–21, 282,963 records were access examined for release, of those 40,000 were in response to applications for access by the public and 242,963 records were examined proactively.

The Archives Act provides a general right of access to records after 20 years, unless they fall under one or more of the 16 exemption categories defined in section 33 of the Archives Act. Before they are released, records are examined for any information that should be exempt. When required, policy agencies are consulted to inform the assessment process.

Proactive release of records

The National Archives has a program of proactively examining records which supports the delivery of programs and services to the public onsite, online and offsite.

The 242,963 proactive releases included World War II service records; routine orders, bankruptcy and sequestrations orders; electoral rolls; Royal Australian Air Force Air Board agendas; Department of Trade and Customs confidential instructions; legacy London High

Commission photographs; and key Cabinet records from 2000.

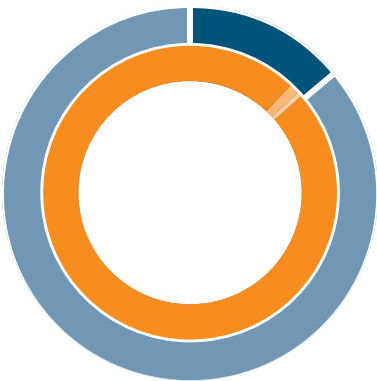
Applications from the public

In 2020–21, the National Archives received 47,177 new applications for access to records and released 40,000 records that were subject to applications from the public. There is often more than one applicant for a record, and more than one record may be requested in a single application. This means that the examination of a single record can result in the completion of more than one application. In addition, there were 22,976 existing applications for access to records. See Figure 2 for the number of records access examined and decisions on access in 2020–21.

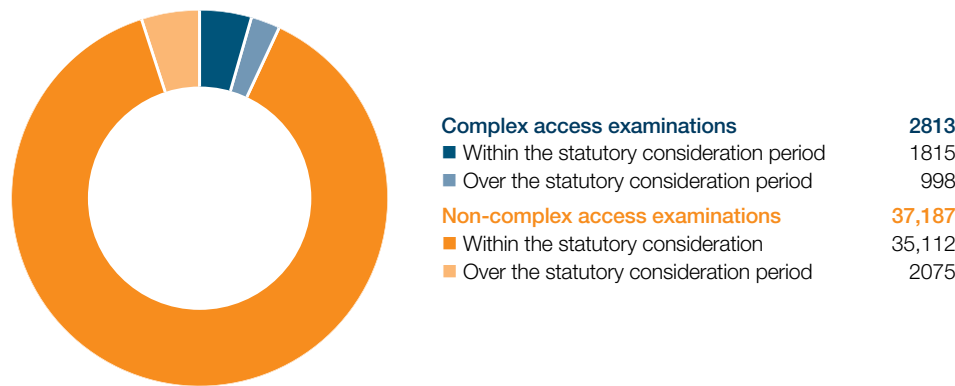
The standard time (statutory consideration period) for access examination is 90 business days for public applications. In 2020–21, 36,927 records were released within the

Figure 2: Number of records access examined and decisions on access, 2020–21

<b>Records access examined</b>	<b>282,963</b>
■ For the public	40,000
■ For proactive release	242,963
<b>Decisions on access:</b>	
■ Wholly released	278,931
■ Partially released	3539
■ Wholly exempt	493



**Figure 3:** Time taken for complex and non-complex access examinations, 2020–21



Note: Records requiring complex access examination generally contain sensitivities relating to national security, defence or international relations. Such records may require referral to other entities for expert advice.

statutory consideration period. Of the 3073 where the access examination was over the statutory consideration period 2075 were non-complex cases and 998 were complex cases. See Figure 3 for the time taken for access examinations.

The National Archives manages the flow of examination to ensure that high-volume requests do not disadvantage access to records for the majority of researchers.

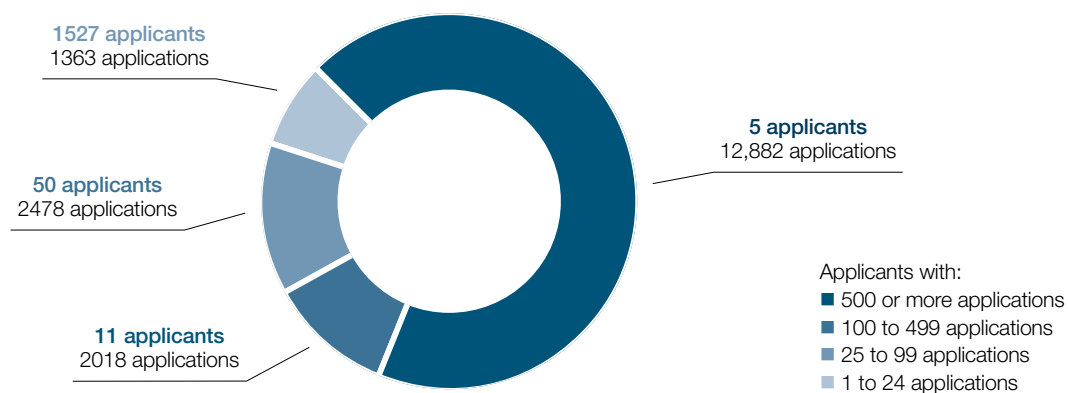
A small number of researchers account for the majority of applications. For example, five applicants account for over 12,000 applications. Figure 4 (opposite) provides a breakdown of the number of applications requested by the high-volume applicant group.

The application cap, which came into effect with legislative amendments in April 2019,

has reduced the impact of those high-volume applications, as the consideration period for notifying decisions on access is extended for any applications submitted after 25 April 2019 where the applicant applies for more than 25 items.

As at 30 June 2021 there were 3252 records relating to 6087 applications on referral to agencies for advice on continuing sensitivity. There were 13,897 applications still to be processed, a significant proportion of which were for records that require referral to the Department of Foreign Affairs and Trade (DFAT). See Table 3 (opposite) for records on referral to agencies as at 30 June 2021.

As at 30 June 2021, there were 20,331 current applications from the public for access to records pending examination.

**Figure 4:** Number of applications by applicant group as at 30 June 2021

Note: Some of the applications were received in previous financial years.

**Table 3:** Records on referral to agencies as at 30 June 2021

Agency	Number of records
Attorney-General's Department	38
Australian Federal Police	29
Australian Security Intelligence Organisation	278
Department of Defence	513
Department of Foreign Affairs and Trade	2014
Department of Home Affairs	57
Department of the Prime Minister and Cabinet	217
Office of National Intelligence	94
Other	12
<b>Total</b>	<b>3252</b>

The National Archives continues to manage the queue of applications in addition to responding to new requests for access. See Table 4 (opposite) for application progress statistics.

### **Case Study: Revealing investigations into suspected Nazi war criminals**

The National Archives often reviews and releases records in response to public enquiries – after careful consultation with relevant agencies on any potential sensitivities. Doing so adds to public awareness and understanding of the Australian story.

In 2020–21, the review and release of records created by the Special Investigations Unit – Attorney-General's Department in the 1980s revealed a particularly intriguing part of Australia's national security past.

In the 1980s, the Australian Government announced a review in response to allegations that Nazi war criminals had managed to obtain entry into Australia and were resident here. The review was conducted by Andrew Menzies, a retired senior public servant, and his report, 'Review of material relating to the entry of suspected war criminals into Australia', was provided to the Minister of State in November 1986.

The Special Investigations Unit of the Attorney-General's Department was soon established to conduct investigations of suspected war criminals living in Australia, and Robert Greenwood was appointed its director in April 1987. The unit investigated around 600 people up until April 1990.

It had approximately 42 staff (including investigators, historians, overseas consultants, analysts, interpreters) pulled from multiple fields such as the Australian Public Service, Australian Federal Police and New South Wales Police. They travelled extensively to interview potential witnesses and received assistance from several countries, including the United Kingdom, the United States of America, Canada, Israel, Poland, Hungary, Yugoslavia, the Netherlands and South Africa.

The records contain details of the allegations relating to individuals and the subsequent investigations, including records of interviews and information provided by other agencies. As a result of these investigations, four cases were referred to the Director of Public Prosecutions.

**Table 4:** Application progress, 2010–11 to 2020–21

	Records released without exemptions	Records released with some exemptions	Records wholly exempt	Records withheld pending advice from agencies	Applications withdrawn by applicant	Applications still to be processed	Total applications received
<b>2020–21</b>	42,309	2136	152	440	1007	1133	<b>47,177</b>
<b>2019–20</b>	39,281	3323	82	393	1554	664	<b>45,297</b>
<b>2018–19</b>	40,621	3429	212	386	532	1118	<b>46,298</b>
<b>2017–18</b>	35,636	3515	191	543	792	2648	<b>43,325</b>
<b>2016–17</b>	33,737	5327	268	387	5002	1892	<b>46,613</b>
<b>2015–16</b>	44,945	4871	677	571	1458	955	<b>53,477</b>
<b>2014–15</b>	43,073	9176	541	897	1325	1100	<b>56,112</b>
<b>2013–14</b>	48,840	6003	526	1174	1741	2323	<b>60,607</b>
<b>2012–13</b>	40,482	4681	258	342	1872	233	<b>48,228</b>
<b>2011–12</b>	47,430	5759	286	826	1782	1831	<b>57,914</b>
<b>2010–11</b>	38,164	5127	238	128	1270	0	<b>44,927</b>

Note: Applications still to be processed predominantly those requiring referral to agencies for advice on continuing sensitivities. Many of these applications have not been progressed as they contain information requiring referral to DFAT, which has limited capacity to receive more records.

## Performance criterion 5

### Exploit new and emerging technology, with contemporary approaches to governance, to modernise the operation of the National Archives.

<b>Measures</b>	<ul style="list-style-type: none"> <li>• Modernise the National Archives operations through implementation of contemporary governance and new digital-management solution by 30 June 2021.</li> <li>• Implement decisions of the High Court ruling.</li> <li>• Implement Tune Review recommendations as agreed by Government.</li> </ul>
<b>Source</b>	Portfolio Budget Statements 2020–21, page 278. National Archives Corporate Plan 2020–21 to 2023–24.
<b>Strategy</b>	Innovate to develop the National Archives' capability and capacity to lead archival change in the digital age.
<b>Result</b>	<ul style="list-style-type: none"> <li>✓ Modernisation of corporate governance was achieved through development and implementation of the corporate governance frameworks, including the corporate governance framework, risk management framework and policy, fraud and corruption control framework, program and project management framework, and document control and management frameworks.</li> <li>✓ The High Court decided that written correspondence between Her Majesty The Queen and the former Governor-General Sir John Kerr are 'Commonwealth records'. Decisions of the High Court ruling were implemented and records were released in July 2020.</li> <li>✓ As at 30 June 2021, the Government has not released its response to the Tune Review.</li> </ul>



## Analysis of performance

### Modernisation of Corporate Governance

In 2020–21, the National Archives developed modern governance frameworks and policies to manage, monitor and assess delivery of its strategic priorities in accordance with its legislative and policy obligations. The resulting increased leadership and control mechanisms have contributed to more efficient operation of the National Archives and made accountabilities and utilisation of resources more transparent to stakeholders.

Key corporate governance products finalised in 2020–21:

- The corporate governance framework streamlines committees, project boards and working groups with clarified roles, delegations, reporting, appropriate membership, and consistent terms of reference.
- The risk management framework and policy set out the guiding principles for risk management across the organisation. Risk assessments identified in the 2020–21 annual business planning documentation, priorities and business-as-usual activities were reviewed and updated to detail risks and associated control mitigation measures.
- Fraud and corruption control framework documents developed in 2019–20 were promoted in 2020–21, and are supported by mandatory fraud and corruption training, during induction and then every two years.
- The program and project management framework provide guidance on project management and sets out the resources for use across the National Archives.
- The document control and management framework set out arrangements for managing and controlling documents and products such as legislative instruments, executive directives, procedures, reference material and enablers.

All governance frameworks and processes have been promoted as part of National Archives business-as-usual procedures and will be reviewed annually.

### High Court of Australia

On 29 May 2020, the High Court of Australia decided that written correspondence (and attachments) between Her Majesty The Queen (or The Queen's private secretary) and former Governor-General Sir John Kerr are 'Commonwealth records' within the meaning of the Archives Act.

This was on the basis that the records were in the custody of the official establishment of the Governor-General at all relevant times and, therefore, the property of a Commonwealth institution under the Archives Act. As a consequence of this decision, the National Archives reviewed the records and made a decision on Professor Jenny Hocking's application, releasing the records in full on 14 July 2020.

## Functional and Efficiency Review of the National Archives of Australia

The Functional and Efficiency Review of the National Archives of Australia (Tune Review) was commissioned to consider and make recommendations on the enduring role of the National Archives in the protection, preservation and use of Commonwealth information; how the National Archives might best perform this role; and what powers, functions, resources, and legislative and governance frameworks the National Archives needs to effectively and efficiently undertake this role in the digital age.

The review identified that the most pressing priorities for the National Archives are the 5th Generation Digital Archive, increased resourcing for digitisation and preservation of at-risk records, and increased capability and authority to improve record keeping and information management.

On 19 August 2021, the Government released its response to the Tune Review and has agreed to all 20 recommendations, in full or in principle, and will outline a reform package to bring the National Archives into the 21st century – ensuring it can continue to preserve the important records that tell the story of Australia.

## Performance criterion 6

### Design and deliver an integrated end-to-end digital archival solution.

<b>Measures</b>	<ul style="list-style-type: none"><li>• Implement the Integrated Archival Management preservation platform.</li><li>• Qualitative evaluation of integrations and implementation of phases of the Integrated Archival Management System, using case studies.</li></ul>
<b>Source</b>	Portfolio Budget Statements 2020–21, page 278 & 279. National Archives Corporate Plan 2020–21 to 2023–24.
<b>Strategy</b>	Innovate to develop the National Archives' capability and capacity to lead archival change in the digital age.
<b>Result</b>	✓ Milestones to end of June 2021 achieved.

## Analysis of performance

The Integrated Archival Management System (IAMS) commenced with procurement and production deployment of Preservica, a specialist digital preservation platform. Preservica was selected after a Request for Tender (RFT) released in November 2018 and a successful pilot. The RFT and pilot recognised digital preservation as a critical need.

The implementation of a contemporary digital preservation platform to meet priority requirements was achieved adopting an iterative design and delivery program to introduce new business capability processes over the following 18 months.

Digitised collection items and digital transfers from agencies are ingested and managed in the new digital preservation platform, with 79 terabytes of data ingested into the system from October 2020.

A foundational digital preservation capability has been implemented, and will be progressively improved and scaled up.

Initial work has commenced for several other capabilities in the IAMS, including essential infrastructure, hardware and software upgrades and improvements to cataloguing and digitisation.

## Financial performance

The National Archives' financial statements are prepared in accordance with the Australian Accounting Standards, which require the recognition of depreciation and amortisation expenses. As National Archives, like all other government departments and agencies, is not funded by government for the non-cash expenditure items of depreciation and amortisation, this means that the bottom-line operating position will almost always show a net loss.

In 2020–21, excluding depreciation and amortisation, the National Archives had a surplus of \$27.95 million, \$7.38 million over budget (\$20.59 million). The National Archives remains in a sound financial position and budgets to remain financially sustainable over the forward estimates.

Including unfunded depreciation and amortisation, the National Archives recorded a net deficit of \$6.93 million, \$7.58 million under budget (\$14.51 million) and total comprehensive income of \$39.98 million.

### Statement of Comprehensive Income

#### Income

Total income for 2020–21 was \$84.38 million, \$5.00 million over budget (\$79.38 million) and an increase of \$7.30 million over 2019–20.

The increase in income was primarily due to the intake of records from other agencies of \$13.34 million, \$3.27 million over budget (\$10.08 million) and \$1.22

million in other revenue (donations from the public) not budgeted for due to their unpredictable nature.

### Expenditure

Total operating expenditure was \$91.31 million, \$2.59 million under budget (\$93.90 million) and \$2.76 million less than 2019–20.

The decrease in expenditure related to personnel costs being \$1.61 million under budget (\$34 million) as a result of changes in staffing composition, combined with updated calculation methods and bond rates for calculating employee provisions.

Supplier costs were \$0.53 million under budget (\$12.17 million).

### Balance Sheet

#### Assets

Total assets at 30 June 2021 were \$2.07 billion, an increase of \$33.47 million from 2019–20.

The net increase was primarily due to the revaluation of the National Archives' collection (\$46.91 million) and other asset additions (\$12.75 million) offset by the reduction in lease right-of-use assets (\$23.93 million).

#### Liabilities

Total liabilities were \$498.20 million as at 30 June 2021. The decrease of \$14.54 million reflects the decrease in Lease Liabilities (\$13.23 million) and Employee provisions (\$1.82 million).

## Equity

Total equity at 30 June 2021 was \$1.57 billion, an increase of \$48.00 million from 2019–20.

The net increase was driven by an increase in the Asset Revaluation Reserve (\$46.91 million), an increase in contributed equity (\$8.03 million – Departmental Capital Budget), offset by the operating result deficit for 2020–21 (\$6.93 million).

## **PART 3**

# **Management and accountability**

## Governance

### Governance framework

The National Archives' corporate governance framework outlines the key authorities, principles and processes required for embedding good governance across the agency. It incorporates the National Archives' legislative and policy obligations, and acts as a principled guide to achieve agency-wide understanding and implementation of governance.

### Governance structure

The National Archives main governance bodies as at 30 June 2021 are the Executive Board and five supporting governance committees. An important objective of the committees is to provide assurance and recommendations to the Executive Board to enable risk-based decision-making consistent with the strategic direction of the National Archives.

In addition to these committees the National Archives COVID-19 Task Force established in 2019–20 continued its operation in 2020–21 to coordinate the organisation's response to the pandemic.

### Executive Board

The Executive Board is the National Archives' principal governance and decision-making body. It provides overall corporate governance and ensures the National Archives' activities are aligned with its strategic goals.

It comprises the Director-General; Assistant Director-General, Corporate Services; Assistant Director-General, Access and Public Engagement; Assistant Director-General, Collection Management; Assistant Director-

General, Information and Technology; and Assistant Director-General, Government Data and Policy.

### Audit and Risk Committee

The Audit and Risk Committee provides independent advice to the accountable authority, the Director-General, and assists him to meet his duties and obligations. The Committee provides advice on financial reporting, performance reporting, systems of risk oversight and management and systems of internal control.

Its charter is available online at [naa.gov.au/about-us/our-organisation/accountability-and-reporting/audit-and-risk-committee-charter](https://naa.gov.au/about-us/our-organisation/accountability-and-reporting/audit-and-risk-committee-charter).

The Committee met five times in 2020–21 to:

- review the financial statements and provide advice to the Director-General, including recommending the statements to be signed by the Director-General
- review the performance statements and provide advice
- review the systems and processes for preparing financial reporting information and the inclusion of the financial statements in the annual report
- review system of risk oversight and management
- review system of fraud control and internal control
- review internal and external audit reports and track the implementation of recommendations
- facilitate communication between the department and the Australian National Audit Office.



### Chair

Mr Geoff Knuckey was appointed to the Audit and Risk Committee in 2011. Mr Knuckey has extensive experience as an audit committee member and chair in the public and private sectors. In 2009, after a 32-year career with Ernst & Young, Mr Knuckey became a full-time company director and member of audit committees. Mr Knuckey has a Bachelor in Economics, and is a Fellow of the Institute of Chartered Accountants Australia (FICA), Graduate of the Australian Institute of Company Directors and a registered Company Auditor.

Meetings attended in 2020–21: 5

Total remuneration: \$9625

### Members

Dr Margaret Wade FCPA has been member of the Audit and Risk Committee since 2015. Dr Wade has served as an independent member of numerous audit committees since 1990. Prior to her retirement in 2005, Dr Wade was a tenured member of staff at the University of Canberra.

Meetings attended in 2020–21: 5

Total Remuneration: \$6000

Dr Wendy Southern is a recently retired senior public servant. Dr Southern has been a member of the Audit and Risk Committee since February 2021. Dr Southern previously held the roles of Deputy Director-General at the Australian Security Intelligence Organisation and Deputy Secretary at both the Department of Health and the Department of Immigration and Border Protection. Dr Southern's responsibilities ranged

across strategic policy, program management, organisational reform and governance and corporate management.

Meetings attended in 2020–21: 2

Total remuneration: \$6000

### Project Assurance Committee

The Project Assurance Committee provides assurance to the Executive Board and Director-General about the management of significant or complex projects being undertaken by National Archives by monitoring projects to ensure:

- adequate project management measures are in place
- projects remain within approved scope, or that scope change is managed
- projects are meeting scheduled outcomes, in particular monitoring budget variance and schedule variance against project plans
- change initiatives address and achieve strategic objectives
- pre-commencement and emerging risks are identified and mitigated
- resource or priority conflicts that may adversely affect project performance are identified early, addressed and resolved
- potentially conflicting resource demands between projects and business-as-usual (BAU) requirements can be managed and coordinated at an organisational level
- any ongoing requirements for financial and human resources following completion of the project are identified and addressed.

The Committee chair is Mr Clive Lines (external appointment) and the members are Assistant

Director-General, Corporate Services; Assistant Director-General, Information and Technology; and an Executive Level 2 representative selected by the Executive Board.

The Project Assurance Committee met four times in 2020–21.

## Security Committee

The Security Committee is an advisory body to ensure that National Archives is implementing effective security strategies, programs and measures to protect National Archives on security matters relating to physical, personnel, information and governance.

The Director-General is the chair of the committee and the members are Assistant Director-General, Corporate Services; Assistant Director-General, Information and Technology; Director, Cyber Security; and Director, Property and Security.

The Security Committee met two times in 2020–21.

## Workplace Relations Committee

The Workplace Relations Committee is a consultative body to seek input from employees on employment-related matters and the implementation of the enterprise agreement. It supports open communication and consultation on matters that affect employees, particularly those that have a broad impact across the National Archives.

The chair of the committee is the Assistant Director-General, Corporate Services,

and the members are the Director, People Management and Development, two management representatives nominated by the Director-General and four employee representatives.

The Workplace Relations Committee met four times in 2020–21.

## Information and Data Governance Committee

The Information and Data Governance Committee is responsible for the governance of National Archives information and data assets. The Committee makes strategic information governance decisions; ensures a consistent and systematic whole-of-agency approach to managing information; ensures coordination of governance activities for information and data assets including the development of frameworks, policies, controls and standards; and monitors the effectiveness of information and data governance activities.

The chair of the committee is the Assistant Director-General, Information and Technology (Chief Information Officer) and the members are Director-General; Assistant Director-General, Access and Public Engagement; Assistant Director-General, Collection Management; Chief Information Governance Officer.

The Information and Data Governance Committee met four times in 2020–21.

## COVID-19 Taskforce

The COVID-19 Taskforce was formed to coordinate the National Archives' response to the pandemic. Its main role is to ensure the health and safety of staff while maintaining the delivery of essential services. In 2020–21, the taskforce continued to:

- ensure working arrangements in offices across Australia are compliant with their states' public health directions and COVIDSafe plans
- provide guidance and support for staff working from home
- provide updates and communicate requirements to staff on COVID-19 situation across Australia.

Since January 2021, the National Archives has been managing the ongoing COVID-19 situation through business-as-usual business continuity arrangements and has continued to comply with government guidelines such as using a QR code to check in.

## Corporate governance and risk

### Corporate governance

The National Archives' work program focuses on enabling efficient, effective and ethical corporate governance; sound corporate and strategic business planning, reporting and policy development; accountable compliance activities; and innovative and prudent management.

This year, the National Archives provided the Minister and Assistant Minister with a Statement of Intent setting out immediate priorities to fulfil its legislated remit to lead information policy and management standards for the Australian Government.

In 2020–21, the National Archives' corporate focus was on finalising, implementing and socialising its governance policies and guidelines as set out in framework documents.

### Risk management

The National Archives' risk maturity continues to grow through its revised risk management framework, including the policy, plan, guide and tools. In 2020–21, the National Archives Strategic Risk Register was reviewed, as well as four specific risk registers Business Continuity, Fraud and Corruption Control, Security, and Information Governance.

The Risk Communication Plan was endorsed by the Audit and Risk Committee for implementation in 2021–22.

### Internal audit

The National Archives' internal audit framework is delivered by contracted professional auditors in consultation with the Executive Board.

Audits are based on strategic priorities, risk management and governance controls. In 2020–21, internal audits were conducted or finalised on:

- Whole-of-government information policy – Digital Continuity 2020 and Building Trust in the Public Record
- Program implementation and delivery
- Protective security policy framework obligations review
- Collection Management Phase 1.

### Fraud measures

The National Archives' fraud and corruption control framework outlines the strategies, governance and procedures in place to protect against fraud and corruption-related risks to the staff, information and assets.

In 2020–21, the National Archives conducted a new fraud and corruption risk assessment consistent with the PGPA Rule. It is intended that this will be finalised early in 2021–22.

No instance of fraud was reported via the National Archives' fraud reporting telephone and email hotlines or through written correspondence to the Fraud Control Officer.

### Ethical standards

The National Archives operates a program of mandatory online learning for staff to understand ethical standards and behaviour expectations. The program schedule includes courses such as protective security, fraud awareness and Commonwealth resource management. Additionally, new staff participate in an induction program including training on ethical standards.

In 2020–21, one public interest disclosure received in 2019–20 was finalised and nil breaches of the APS Code of Conduct were determined. No requests were made to review a human resource decision, and no appeals were made to external authorities.

## Freedom of information

In 2020–21, the National Archives received 11 valid freedom of information (FOI) requests. The results of those requests were as follows:

- 7 requests were finalised within the required timeframe, granting access in full or part
- 1 request was withdrawn
- 1 request was transferred to another agency
- 1 request was refused (documents were not in possession of the National Archives but were publicly available, so the applicant was provided with the relevant links)
- 1 request was still being processed as at 30 June 2021.

## Information Publication Scheme

Entities subject to the *Freedom of Information Act 1982* (FOI Act) are required to publish information to the public as part of the Information Publication Scheme (IPS).

This requirement is in Part II of the FOI Act and has replaced the former requirement to publish a Section 8 statement in an annual report. Each entity must display on its website a plan showing what information it publishes in accordance with the IPS requirements.

The National Archives complies with the requirement to public information to the public as part of the IPS. A plan outlining what

information is published in accordance with the IPS requirements can be found on the National Archives website, [naa.gov.au](http://naa.gov.au).

## Privacy

In 2020–21, the National Archives updated its privacy policy and created a privacy management plan consistent with its obligations under the *Privacy (Australian Government Agencies – Governance) APP Code 2017*.

In 2020–21, the National Archives:

- received and finalised one written privacy complaint (this did not involve data breaches that required notification to the Privacy Commissioner)
- received 10 Privacy Impact Assessments for review, 8 of which were finalised within the financial year and 2 were still under assessment as at 30 June 2021.

## Information governance

The National Archives aims to be a forward-looking and innovative, employing best practice approaches for the management of information and data assets. This includes implementing the Building Trust in the Public Record policy and the Information Management Standard for Australian Government.

The National Archives' information and data governance framework affirms its commitment to effective governance and management for all information and data assets; clearly defines the standards, expectations and responsibilities for managing information and data; and ensures that the National Archives' information and data management practices meet legal

obligations, accountability requirements, business needs and stakeholder expectations.

In 2020–21, the National Archives continued to strengthen its information governance framework, policies and processes. It has met the final targets for the Digital Continuity 2020 policy. Work has commenced on meeting the targets identified in the Building Trust in the Public Record policy and the Foundational Four requirements of the Office of the National Data Commissioner. Gap assessments against the requirements have been completed and an initial roadmap developed to meet the targets.

## External engagement

### Multicultural access and equity

The National Archives continues to develop and deliver programs that contribute to a shared understanding and appreciation of Australia's diverse heritage.

A plan of initiatives to increase multicultural access and equity over the 2020–21 period focuses on staff awareness of cultural diversity; exhibitions; projects featuring shared documentary history with partner countries; and writing all information in plain English.

Initiatives during the year included a focus on training, publication, collection analysis and exhibitions, including a range of stories and records in permanent exhibitions that tells stories of Australia's diverse heritage.

In 2020–21, National Archives:

- developed Jewish migration to Australia story – Sugihara visas – for the permanent exhibition *Connections / Mura gadi: archives, people, place*
- implemented the Special Broadcasting Service (SBS) Cultural Competence training for all staff
- increased publication of records with multicultural significance or interest on social media channels
- conducted collection analysis to prioritise selected records for preservation digitisation with an increased focus on multicultural content, including audiovisual records
- completed joint project with UNESCO International Centre for Documentary Heritage (ICDH) to produce the video *Audiovisual Records – Preservation in*

Practice: Sharing the experience and knowledge of the National Archives of Australia.

### Recognising and respecting First Nations heritage

#### Reconciliation Action Plan

The National Archives' Innovate Reconciliation Action Plan (RAP) has been drafted. Stakeholder feedback is due to be finalised prior to Executive Board and Reconciliation Australia sign off. The Innovate RAP commits the National Archives to extending itself in a range of key areas, including:

- securing and preserving records relating to Aboriginal and Torres Strait Islander peoples, to continue to build collections for people to connect with family and community history and heritage
- strengthening relationships with Aboriginal and Torres Strait Islander peoples through increased engagement
- consolidating and embedding Aboriginal and Torres Strait Islander protocols into our standard business operating processes
- completing staff participation in cultural awareness training
- visually and verbally acknowledging Aboriginal and Torres Strait Islander peoples as custodians of the land, and respecting and valuing the diversity of Aboriginal and Torres Strait Islander cultures
- continuing to build, develop and facilitate Aboriginal and Torres Strait Islander employment at the National Archives

and encourage interest in archives and information management careers.

The RAP Working Group revised its charter and meeting and reporting framework, and developed staff induction information.

## **Council of Australasian Archives and Records Authorities First Nations Working Group**

The Council of Australasian Archives and Records Authorities (CAARA) First Nations Working Group met on 23 July 2020, 28 September 2020 and 24 February 2021. The group developed its terms of reference and workplan in alignment to the Tandanya – Adelaide Declaration and will develop a plain-English version of the declaration.

In partnership with the International Council on Archives (ICA), Australian Society of Archivists and CAARA, the forum ‘Empowering Cultural Change: Government archives responses to implementing the Tandanya – Adelaide Declaration’ was presented on 9 June 2021.

## **Aboriginal and Torres Strait Islander Services**

On 4 November 2020, the Director-General re-signed the memorandum of understanding (MOU) between the National Archives and the Australian Institute of Aboriginal and Torres Strait Islander Studies. The MOU provides access to National Archives collections and Bringing Them Home name index for Link-Up clients to assist Stolen Generations in tracing family.

One meeting of the Northern Territory Aboriginal Advisory Group was held on 27 October 2020 and items discussed included:

- the status of the records of the Central Australian Stolen Generations Families Aboriginal Corporation, which are non-Commonwealth records
- naming of the National Office ‘Murrulungalang’
- self-service digitisation
- the volunteer strategy
- involvement by the Aboriginal communities in these initiatives.

In 2020–21, the National Archives Victoria Office actively engaged with the Victorian Stolen Generations Reparations Scheme Steering Committee Secretariat on how records in the national archival collection can support the scheme’s future operations.

Training was provided in August 2020, February and March 2021 to Link-Up research officers from the Northern Territory Stolen Generations Aboriginal Corporation and Central Australian Aboriginal Congress on how to use the Bringing Them Home name index and on the usage and terms of the MOU.

On 25 September 2020, the Family History Team from the Australian Institute of Aboriginal and Torres Strait Islander Studies were provided an orientation of services and records viewing.

The Bringing Them Home name index continued to be used, with 268 inquiries received, 902 names searched for, and 3649 names found linking individuals with family, their history and culture. The National Archives received 26 MOU applications for access.



## External scrutiny

### Australian National Audit Office

The Australian National Audit Office did not undertake any reports on operations of the National Archives in 2020–21.

### Commonwealth Ombudsman

The Commonwealth Ombudsman did not undertake any investigations in relation to the National Archives in 2020–21.

### Administrative Appeals Tribunal

The National Archives makes decisions on access to Australian Government records under the Archives Act. People who are dissatisfied with a decision can, in certain circumstances, seek a review from the Administrative Appeals Tribunal (AAT).

In 2020–21, the AAT received 13 new appeals, and 5 were carried over from 2019–20.

The National Archives attended hearings for three AAT matters during the year. The AAT has reserved its decisions in these matters whilst it considers the evidence and exempted information. A total of 18 appeals remained before the AAT as at 30 June 2021.

### Federal Court of Australia

There were no cases on matters relating to the National Archives before the Federal Court of Australia in 2020–21.

### High Court of Australia

There were no cases on matters relating to the National Archives before the High Court of Australia in 2020–21.

### Parliamentary committees

In 2020–21, the National Archives provided submissions to the following committees and parliamentary inquiries:

- Australia's creative and cultural institutions – Standing Committee on Communications and the Arts – October 2020
- Nationhood, national identity and democracy – Standing Committee on Legal and Constitutional Affairs – October 2020
- Governance in the stewardship of public resources – Joint Committee of Public Accounts and Audit – February 2021
- The current capability of the Australian Public Service – Senate Finance and Public Administration Committees – April 2021.

The Director-General appeared at hearings before the Standing Committee on Communications and the Arts and the Joint Committee of Public Accounts and Audit to support evidence provided in the National Archives' submissions.

### Office of the Australian Information Commissioner

The Information Commissioner made no reports concerning actions taken by, or practices of, the National Archives in 2020–21.

### Legal services and expenditure

The Legal Services Directions 2017, issued by the Attorney-General under the *Judiciary Act 1903*, require Australian Government agencies to ensure that legal services expenditure is appropriately recorded and

monitored. The National Archives' total expenditure on external legal services for 2020–21 was \$453,609.

### **Significant non-compliance with finance law**

No significant instances of non-compliance with finance law were recorded in 2020–21 that required reporting to the responsible minister in accordance with the PGPA Act.

## Human resource management

In 2020–21, the National Archives developed a Strategic Workforce Plan and Operational Workforce Plan, which consider the workforce that the National Archives will require over the coming five years to achieve its objectives, and how current and future employees can be attracted, retained and developed.

The plans are supported by a capability framework, which was updated in 2020–21. The framework articulates the core organisational capabilities required to facilitate the delivery of outcomes.

The framework expresses these as key behaviours, skills and attributes that apply to all roles, and highlights where particular specialised skills are required to support core business functions. The framework guides all parts of the employee life cycle, including role design, recruitment and selection, performance management, succession planning and learning and development.

### Managing and developing employees

#### Workforce planning, staff turnover and retention

The number of ongoing employees at the National Archives rose slightly in 2020–21. There was an increase in the number of temporary employees due mainly to project work, but the workforce was carefully managed within the National Archives' constrained financial resourcing.

National Archives workforce demographics as at 30 June 2021 are provided in the tables in Appendix B. In summary, the workforce:

- is predominantly female (56.6%)
- includes part-time (23.4%) and temporary (17.4%) workers to ensure flexibility to achieve its objectives
- is largely Canberra-based (71.8%) but has a geographical footprint in every capital city
- has a classification profile that sits within the parameters of the optimal APS management structures.

The separation rate for ongoing employees in 2020–21 was 6.8%, which was an increase from the 2019–20 rate of 4.3% and includes all separations (terminations, redundancies, resignations and retirements) but excludes promotions and permanent transfers to other Commonwealth agencies.

### Instruments of employment

In 2020–21, the National Archives Enterprise Agreement was the main employment instrument and there was a Public Service Determination 2020/5 in place in relation to remuneration increases for public service employees. A total of 375 employees were covered by the agreement.

Five Senior Executive Service (SES) employees were covered by determinations under subsection 24(1) of the *Public Service Act 1999* (PS Act), including one employee acting in a SES role.

No employees in the National Archives have provisions for performance pay.

Mandatory tables relating to the National Archives' employment arrangements and salary details are provided in Appendix B.

## Senior Executive Service remuneration

The National Archives determines SES remuneration with regard to the annual APS Remuneration Survey. It complied with the Australian Government's stay on remuneration increases for SES employees, withholding all increases and only deploying an increase after the stay was lifted in June 2021. Base salaries are negotiated between the Director-General and individual SES employees under subsection 24(1) determinations of the PS Act. Each SES employee develops an individual work plan with the Director-General and is assessed against a five-point scale rating system.

A range of non-salary benefits is available to SES employees, subject to the nature of the work performed and approval arrangements. Benefits may include the provision of laptop computers, tablets and mobile devices; airline lounge membership; a car-parking fringe benefit; and support for professional development. No bonuses are payable to SES employees.

Outside the SES, there were no other highly paid staff whose total remuneration exceeded the threshold amount for the reporting period.

Mandatory tables relating to executive remuneration are provided in Appendix C.

## Workforce strategies

### Inclusion and diversity

The National Archives places a high value on reflecting the diversity of its clients and stakeholders and embracing the diverse skills, perspectives and experiences of its staff to improve service delivery.

The objectives of the National Archives' Workplace Diversity Program 2017–20 are to:

- raise awareness of workplace diversity in the National Archives
- attract, recruit and retain employees from diverse backgrounds
- provide a workplace that is free from discrimination, promotes health and wellbeing at work, and recognises and values diversity
- embed workplace diversity principles into management and work team practices
- ensure that the National Archives' collection, which is reflective of Australia's cultural diversity, is accessible to all
- comply with government and legislative requirements.

In 2020–21, work commenced on the replacement to the Workplace Diversity Program 2017–20 to ensure that the National Archives places a priority in engaging employment groups that traditionally experience high barriers to workforce participation.

The diversity program sets an Indigenous employment target of 3%. As at 30 June 2021, 1% of National Archives employees identified as Indigenous. The agency is continuing to look for innovative ways to increase overall Indigenous workforce participation.

The National Archives is continuing to build employees' cultural capability. Online cultural awareness training packages developed by SBS were made available to staff, and have been built into the ongoing mandatory training program.

As at 30 June 2021, female employees made up 56.6% of the National Archives' workforce. In some agencies, women make up the majority of the workforce only in certain functions or classifications. At the National Archives, however, the number of female staff remains high across all classifications and women are well represented at senior levels. As at 30 June 2021, 60% of the agency's SES staff were female.

Of the staff who responded to the 2020 APS Employee Census, 8% identified as lesbian, gay, bisexual, transgender, intersex, queer, asexual and questioning (LGBTIQ+).

### Disability reporting

The National Disability Strategy 2010–2020 is Australia's overarching framework for disability reform. It acts to ensure that the principles underpinning the United Nations Convention on the Rights of Persons with Disabilities are incorporated into Australia's policies and programs that affect people with disability, their families and their carers.

All levels of government will continue to be held accountable for the implementation of the strategy through biennial progress reporting to the Council of Australian Governments or its successor body. Progress reports can be found at [dss.gov.au](https://dss.gov.au).

Disability reporting is included in the Australian Public Service Commission's State of the Service reports and the *APS Statistical Bulletin*. These reports are available at [apsc.gov.au](https://apsc.gov.au).

## Learning and development

In 2020–21, the National Archives provided a comprehensive suite of professional development programs aimed at building both individual and organisational capability. The corporate professional development calendar provided all staff with the opportunity to undertake a range of individual courses or seminars, with more than 435 enrolments. The National Archives implemented a leadership development strategy to provide pathways for current and emerging leaders to develop their skills through a range of on-the-job and off-the-job methodologies.

The National Archives was able to resume some of its key face-to-face learning and development activities, including a leadership development program and induction. These were augmented by online delivery when required.

A mentor program was piloted in 2020–21, providing employees the opportunity to spend a series of sessions with an SES officer to discuss skills development and career progression while building strengthened relationships across the organisation. Following a review of the pilot, the program has been deployed as a regular leadership development initiative.

Corporate training requirements and requests were determined through individual work plan discussions, or identified in the Cultural Action Plan and expertise development and capability frameworks. Staff were encouraged to attend training sessions held by the Australian Public Service Commission and

the Attorney-General's Department, which 49 employees attended.

Delivery of four online digital archiving modules continued, with 200 completions of the digital archiving training. This provided a flexible way for employees to develop skills critical to the role of the organisation.

E-learning packages continued to be popular. All staff were required to complete the National Archives' induction and five annual refresher courses. Staff completed 210 courses on the online learning platform LinkedIn Learning, either in lieu of or together with face-to-face training. The most popular courses addressed digital proficiency and stakeholder engagement.

The Studies Assistance Program supported 12 employees with financial assistance, study leave or both. Studies assistance has built organisational capabilities and provided an incentive for staff to further their education.

## Health and wellbeing

The National Archives' 2020–21 health and wellbeing calendar included in-house and external programs to engage staff in healthier work practices. The calendar included charity drives and awareness, physical health activities, mental health awareness and influenza vaccinations. Each state office received a subsidy to spend on healthier work practices. The National Archives' health and wellbeing program achieved platinum-embed status under the ACT Healthier Work initiative.

The National Archives continues to provide an Employee Assistance Program. Employees and their immediate family members access these

services for both work-related and personal issues. Services include career advice, manager assistance and financial counselling.

## Performance management

The National Archives' performance management framework facilitates effective performance conversations. Performance review and development are supported to ensure that the National Archives has the skills and capabilities it needs into the future.

The performance management scheme applies to all employees and includes mid-cycle check-ins and an end-of-cycle review and rating. Regular informal performance conversations are also encouraged.

Performance conversation guides are provided to assist all employees to engage effectively in the performance management process. Resources are provided to managers to help them identify and address underperformance. Probation continues to be applied as a condition of engagement for all new ongoing and non-ongoing employees.

## Work health and safety

In 2020–21, the National Archives continued to demonstrate a commitment to providing and maintaining a safe and healthy working environment for all employees through workplace audits; support for injured and ill workers; and training courses, activities and initiatives under its health and wellbeing program.

Significant effort was put into addressing issues identified in a 2018–19 Comcare audit. New and revised policies and procedures were

implemented and provided to Comcare to demonstrate closure of all outstanding actions.

The National Archives continued to monitor government health directions in relation to the changing COVID-19 pandemic and maintained hygiene and social-distancing arrangements. It worked flexibly with staff to maintain their health and safety and the delivery of services. This included providing home-based work arrangements for staff at high risk and enabling staff to access vaccinations during paid work time.

In 2020–21, the National Archives had no compensation claims, and 212 staff received the influenza vaccination.

See Table 5 for the National Archives' work health and safety performance statistics.

**Table 5:** Work health and safety performance, 2018–19 to 2020–21

Action	2020–21	2019–20	2018–19
Investigations conducted that relate to businesses or undertakings by the National Archives, including any notices received under Part 10 of the <i>Work Health and Safety Act 2011</i> (WHS Act)	0	0	0
Incidents reported to Comcare under Part 3, Section 35 of the WHS Act	1	3	2
Investigations carried out, or notices given, under Part 10 of the WHS Act	0	0	0
Work-related incidents notifiable as per the National Archives' work health and safety incident reporting and hazard management policy	14	11	17
Number of staff who received the influenza vaccination	212	265	197
Number of accepted compensation claims	0	3	0

## Environmental performance

The following information is provided in accordance with section 516A of the *Environment Protection and Biodiversity Conservation Act 1999*.

The National Archives is committed to ecologically sustainable development and to improving its environmental performance in the areas of energy, waste and water consumption for all existing and future accommodation occupancy projects.

In 2020–21, the National Archives continued to mitigate its impact on the environment by:

- implementing digital authorisations and workflow approvals and using follow-me printers
- encouraging a segregated waste management policy to correctly handle paper, cardboard, mixed recyclables, toners, chemicals and waste to landfill
- using electronic document management systems and web-based information-sharing tools
- working closely with landlords to maximise the efficiency of base building plant and control systems
- reviewing the agency's portfolio to reduce the property footprint while maintaining the integrity of the repositories and the provision of access and public engagement services
- ensuring that leases complied with the Australian Government's energy-efficiency policy as well as the room temperatures and relative humidity levels required for the long-term preservation of collection material housed in repositories
- replacing ageing plant and equipment with updated technologies
- procuring energy-efficient equipment such as smart lighting systems that activate only when work areas are occupied
- maintaining a fleet of seven leased vehicles to ensure that operational requirements were effectively met while minimising any potential environmental impacts.

See Table 6 for the National Archives' ecologically sustainable development and environmental performance statistics.

### National Australian Built Environment Rating System energy rating

The National Australian Built Environment Rating System (NABERS) measures the environmental performance of buildings, tenancies and homes. It measures the energy efficiency, water usage, waste management and indoor environment quality and its impact on the environment. In June 2021, the National Archives achieved a 5.3-star NABERS energy tenancy rating.



**Table 6:** Ecologically sustainable development and environmental performance, 2018–19 to 2020–21

Measure	2020–21	2019–20	2018–19
Electricity consumption (kWh)	4,763,669	3,960,123	3,756,700
Natural gas consumption (MJ)	6,771,442	6,915,276	4,245,026
Solar energy generated – Cannon Hill, Qld, and Parkes, ACT (kWh)	54,235	63,163	59,325
Reduction in CO <sub>2</sub> emissions – Cannon Hill, Qld, and Parkes, ACT (kg)	30,708	35,930	34,289
Paper used (reams)	1458	1429	1286
Water consumption (kl)	17,106	18,129	14,164
Waste produced by ACT sites (kg)	28,713	12,877	5822
Waste produced by non-ACT sites (kg)	21,250	15,546	17,742
Recycling – all sites (kg)	58,329	27,713	7863

## Asset management, purchasing and grants

### Asset management

The National Archives manages diverse and complex assets, including:

- the national archival collection
- building plant supporting critical infrastructure, such as low-temperature storage vaults
- intangible assets, such as digital copies of collection items
- fit-out of office, storage, preservation and exhibition spaces
- preservation equipment
- high-quality digital imaging equipment and cameras
- exhibition infrastructure
- information technology infrastructure supporting corporate and archival systems.

### Asset management policy

The National Archives applies best practice asset management principles to its facilities and associated assets. It continues to progressively review and refine its asset management policies and practices.

### Heritage assets

The heritage and cultural assets held by the National Archives form part of the national archival collection. This irreplaceable collection is valued at more than \$1.5 billion.

The National Archives is responsible for caring for the most significant records of the Australian Government. Most of those records are created, received or held by government agencies.

The national archival collection consists of tens of millions of items, and includes records about immigration, military service, transport, Aboriginal and Torres Strait Islander people, science and the environment.

Curatorial and preservation policies for heritage and cultural assets can be accessed via the National Archives website, [naa.gov.au](http://naa.gov.au).

### Capital works

The National Archives progressed significant capital works projects during 2020–21 to accommodate current and future operational needs, including:

- refurbishing the executive office at the National Office in Canberra
- completing the film preservation laboratory at Chester Hill in Sydney
- refurbishing the digitisation area to accommodate nine additional digital scanning work points at the National Archives Preservation Facility in Canberra.

### Purchasing

#### Procurement

The National Archives' approach to the procurement of goods and services, including consultancies, is consistent with the requirements of the Commonwealth Procurement Rules. The rules are applied to procurement activities through accountable authority instructions and supporting guidelines and templates.

In 2020–21, the National Archives sourced goods and services through mandated

Australian Government panels and cooperative procurement arrangements such as panels established by Australian Government agencies deemed appropriate to meet the National Archives' requirements.

Open approaches to market included procurements of:

- preservation digitisation equipment for photographic archival records
- outsourced digitisation services for photographic materials, aerial and microforms
- preventative maintenance for East Burwood repository.

### **Procurement initiatives to support small business**

The National Archives supports small business participation in the Australian Government procurement market by:

- using the Commonwealth Contracting Suite for low-risk procurements
- communicating clearly in accessible formats
- using electronic payment systems to expedite payments.

The National Archives recognises the importance of ensuring that small businesses are paid on time. The results of the Survey of Australian Government Payments to Small Business are available on the Department of Treasury website at [treasury.gov.au](http://treasury.gov.au).

Small and medium-sized enterprises and small enterprise participation statistics are available on the Department of Finance website at [finance.gov.au](http://finance.gov.au).

## **Contracts**

### **Consultancy contracts**

In 2020–21, the National Archives entered into four new consultancy contracts, involving total actual expenditure of \$103,201. In addition, 12 ongoing consultancy contracts were active during the period, involving total actual expenditure of \$202,129.

Decisions to engage consultants were made in accordance with the PGPA Act and related regulations, including the Commonwealth Procurement Rules and relevant internal policies. The National Archives selects consultants through the use of panel arrangements or by making an open approach to market.

Typical reasons for engaging consultancy services included a requirement for specialist or professional skills, independent research or assessment. Information on the value of reportable consultancy contracts is available on the AusTender website at [tenders.gov.au](http://tenders.gov.au).

Details on the reportable consultancy contracts are in tables 7 and 8 (page 66).

### **Non-consultancy contracts**

In 2020–21, the National Archives entered into 133 new non-consultancy contracts, involving total actual expenditure of \$8,197,946. In addition, 139 ongoing non-consultancy contracts were active during the period, involving total actual expenditure of \$42,686,706.

Annual reports contain information about actual expenditure on reportable non-consultancy

**Table 7:** Reportable consultancy contracts, 2020–21

Contracts	Number	Cost
New contracts entered into during the reporting period	4	\$103,201
Ongoing contracts entered into during a previous reporting period	12	\$202,129
<b>Total</b>	<b>16</b>	<b>\$305,330</b>

**Table 8:** Share of reportable consultancy contract expenditure, 2020–21

Organisations	Cost	% of total
Synergy Group (ABN: 65 119 369 827)	\$96,036	31.4%
Tinslay Peter John (ABN: 64 646 431 062)	\$77,000	25.2%
Infinite Consulting (ABN: 56 081 954 645)	\$39,947	13%
Conrick Consulting (ABN: 92 624 814 302)	\$16,500	5.4%
Les Bell & Associates (ABN: 44 350 636 020)	\$16,153	5.2%

contracts. Information on the value of reportable non-consultancy contracts is available on the AusTender website at [tenders.gov.au](https://tenders.gov.au).

Details on the reportable non-consultancy contracts are in tables 9 and 10 (opposite).

### **Australian National Audit Office access clauses**

One contract of \$100,000 or more (including GST) was let during 2020–21 that did not provide for the Auditor-General to have access to the contractor's premises.

### **Exempt contracts**

In 2020–21, the National Archives had no exempt contracts.

## **Advertising and market research**

In 2020–21, the National Archives conducted the media advertising listed in Table 11 (opposite).

The National Archives did not conduct any advertising campaigns in 2020–21.

## **Grant programs**

Information on grants awarded by the National Archives in 2020–21 is on its website at [naa.gov.au](https://naa.gov.au).

**Table 9:** Reportable non-consultancy contracts, 2020–21

Contracts	Number	Cost
New contracts entered into during the reporting period	133	\$8,197,946
Ongoing contracts entered into during a previous reporting period	139	\$42,686,706
<b>Total</b>	<b>272</b>	<b>\$50,884,652</b>

**Table 10:** Share of reportable non-consultancy contract expenditure, 2020–21

Organisation	Cost	% of total
Mitch Arc (ABN: 96 509 313 282)	\$13,661,328	26.8%
Doma Select (ABN: 41 602 652 979)	\$8,819,265	17.3%
The Trustee for Charter Hall Chester Hill Trust (ABN: 83 134 085 966)	\$5,228,031	10.2%
NTT Com ICT Solutions (Australia) (ABN: 61 059 040 998)	\$2,714,984	5.3%
Ortello Investments (ABN: 49 607 079 612)	\$2,335,016	4.5%

**Table 11:** Advertising amounts of \$14,000 or more paid, including GST, 2020–21

Organisation	Purpose	Cost
Rural Press	Advertising for exhibition and events	\$15,051
Les Bell and Associates	Market research	\$16,153
<b>Total</b>		<b>\$31,204</b>



## **PART 4**

# **Financial statements**



## INDEPENDENT AUDITOR'S REPORT

### To the Attorney-General

#### Opinion

In my opinion, the financial statements of the National Archives of Australia (the Entity) for the year ended 30 June 2021:

- (a) comply with Australian Accounting Standards – Reduced Disclosure Requirements and the *Public Governance, Performance and Accountability (Financial Reporting) Rule 2015*; and
- (b) present fairly the financial positions of the Entity as at 30 June 2021 and their financial performance and cash flows for the year then ended.

The financial statements of the Entity, which I have audited, comprises the following as at 30 June 2021 and for the year then ended:

- Statement by the Director-General and Chief Financial Officer;
- Statement of Comprehensive Income;
- Statement of Financial Position;
- Statement of Changes in Equity;
- Cash Flow Statement; and
- Notes to the financial statements, comprising a summary of significant accounting policies and other explanatory information.

#### Basis for opinion

I conducted my audit in accordance with the Australian National Audit Office Auditing Standards, which incorporate the Australian Auditing Standards. My responsibilities under those standards are further described in the *Auditor's Responsibilities for the Audit of the Financial Statements* section of my report. I am independent of the Entity in accordance with the relevant ethical requirements for financial statements audits conducted by the Auditor-General and his delegates. These include the relevant independence requirements of the Accounting Professional and Ethical Standards Board's APES 110 *Code of Ethics for Professional Accountants (including Independence Standards)* (the Code) to the extent that they are not in conflict with the *Auditor-General Act 1997*. I have also fulfilled my other responsibilities in accordance with the Code. I believe that the audit evidence I have obtained is sufficient and appropriate to provide a basis for my opinion.

#### Accountable Authority's responsibility for the financial statements

As the Accountable Authority of the Entity, the Director-General is responsible under the *Public Governance, Performance and Accountability Act 2013* (the Act) for the preparation and fair presentation of annual financial statements that comply with Australian Accounting Standards – Reduced Disclosure Requirements and the rules made under the Act. The Director-General is also responsible for such internal control as the Director-General determines is necessary to enable the preparation of financial statements that are free from material misstatement, whether due to fraud or error.

In preparing the financial statements, the Director-General is responsible for assessing the ability of the Entity to continue as a going concern, taking into account whether the Entity's operations will cease as a result of an administrative restructure or for any other reason. The Director-General is also responsible for disclosing, as applicable, matters related to going concern and using the going concern basis of accounting unless the assessment indicates that it is not appropriate.

GPO Box 707, Canberra ACT 2601  
38 Sydney Avenue, Forrest ACT 2603  
Phone (02) 6203 7300



**Auditor's responsibilities for the audit of the financial statements**

My objective is to obtain reasonable assurance about whether the financial statements as a whole are free from material misstatement, whether due to fraud or error, and to issue an auditor's report that includes my opinion. Reasonable assurance is a high level of assurance, but is not a guarantee that an audit conducted in accordance with the Australian National Audit Office Auditing Standards will always detect a material misstatement when it exists. Misstatements can arise from fraud or error and are considered material if, individually or in the aggregate, they could reasonably be expected to influence the economic decisions of users taken on the basis of the financial statements.

As part of an audit in accordance with the Australian National Audit Office Auditing Standards, I exercise professional judgement and maintain professional scepticism throughout the audit. I also:

- identify and assess the risks of material misstatement of the financial statements, whether due to fraud or error, design and perform audit procedures responsive to those risks, and obtain audit evidence that is sufficient and appropriate to provide a basis for my opinion. The risk of not detecting a material misstatement resulting from fraud is higher than for one resulting from error, as fraud may involve collusion, forgery, intentional omissions, misrepresentations, or the override of internal control;
- obtain an understanding of internal control relevant to the audit in order to design audit procedures that are appropriate in the circumstances, but not for the purpose of expressing an opinion on the effectiveness of the Entity's internal control;
- evaluate the appropriateness of accounting policies used and the reasonableness of accounting estimates and related disclosures made by the Accountable Authority;
- conclude on the appropriateness of the Accountable Authority's use of the going concern basis of accounting and, based on the audit evidence obtained, whether a material uncertainty exists related to events or conditions that may cast significant doubt on the Entity's ability to continue as a going concern. If I conclude that a material uncertainty exists, I am required to draw attention in my auditor's report to the related disclosures in the financial statements or, if such disclosures are inadequate, to modify my opinion. My conclusions are based on the audit evidence obtained up to the date of my auditor's report. However, future events or conditions may cause the Entity to cease to continue as a going concern; and
- evaluate the overall presentation, structure and content of the financial statements, including the disclosures, and whether the financial statements represent the underlying transactions and events in a manner that achieves fair presentation.

I communicate with the Accountable Authority regarding, among other matters, the planned scope and timing of the audit and significant audit findings, including any significant deficiencies in internal control that I identify during my audit.

Australian National Audit Office



Mark Vial  
Acting Executive Director

Delegate of the Auditor-General

Canberra

2 September 2021

## National Archives of Australia

### STATEMENT BY THE DIRECTOR-GENERAL AND CHIEF FINANCIAL OFFICER

In our opinion, the attached financial statements for the period ended 30 June 2021 comply with subsection 42(2) of the *Public Governance, Performance and Accountability Act 2013* (PGPA Act), and are based on properly maintained financial records as per subsection 41(2) of the PGPA Act.

In our opinion, at the date of this statement, there are reasonable grounds to believe that the National Archives of Australia will be able to pay its debts as and when they fall due.



David Fricker  
Director-General

31 August 2021



Greg Freeman  
Chief Financial Officer

31 August 2021

**Statement of Comprehensive Income***for the period ended 30 June 2021*

		2021	2020	Original Budget 2021
	Notes	\$'000	\$'000	\$'000
<b>NET COST OF SERVICES</b>				
<b>Expenses</b>				
Employee benefits	1.1A	32 396	33 655	34 000
Suppliers	1.1B	11 633	13 550	12 166
Grants		18	34	35
Depreciation and amortisation	2.2	34 880	34 401	35 081
Finance costs		12 255	12 017	12 365
Impairment loss on financial instruments		1	-	-
Write-down and impairment of assets		126	411	250
<b>Total expenses</b>		<b>91 309</b>	<b>94 068</b>	<b>93 897</b>
<b>Own-source income</b>				
<b>Own-source revenue</b>				
Revenue from contracts with customers	1.2A	2 143	1 646	1 646
Rental income	1.2B	328	143	328
Other revenue	1.2C	1 216	83	-
<b>Total own-source revenue</b>		<b>3 687</b>	<b>1 872</b>	<b>1 974</b>
<b>Gains</b>				
Intake of records from other agencies		13 344	7 552	10 075
Gains from asset sales		9	21	-
<b>Total gains</b>		<b>13 353</b>	<b>7 573</b>	<b>10 075</b>
<b>Total own-source income</b>		<b>17 040</b>	<b>9 445</b>	<b>12 049</b>
<b>Net cost of services</b>		<b>(74 269)</b>	<b>(84 623)</b>	<b>(81 848)</b>
Revenue from Government	3.1	67 335	67 633	67 335
<b>Surplus/(Deficit)</b>		<b>(6 934)</b>	<b>(16 990)</b>	<b>(14 513)</b>
<b>OTHER COMPREHENSIVE INCOME</b>				
<b>Items not subject to subsequent reclassification to net cost of services</b>				
Change in asset revaluation reserve	2.2	46 910	-	-
<b>Total comprehensive income/(loss)</b>		<b>39 976</b>	<b>(16 990)</b>	<b>(14 513)</b>

The above statement should be read in conjunction with the accompanying notes.

**Statement of Financial Position***as at 30 June 2021*

	Notes	2021 \$'000	2020 \$'000	Original Budget 2021 \$'000
<b>ASSETS</b>				
<b>Financial assets</b>				
Cash		1 744	264	265
Trade and other receivables	2.1	18 707	22 591	25 608
<b>Total financial assets</b>		<b>20 451</b>	<b>22 855</b>	<b>25 873</b>
<b>Non-financial assets</b>				
Buildings (right of use)	2.2	462 402	486 332	462 496
Property, plant and equipment	2.2	23 936	22 569	23 018
Heritage and cultural	2.2	1 536 853	1 483 024	1 486 609
Software	2.2	3 790	4 038	3 315
Other intangibles	2.2	18 882	14 167	17 388
Inventories		111	145	145
Prepayments		934	761	761
<b>Total non-financial assets</b>		<b>2 046 908</b>	<b>2 011 036</b>	<b>1 993 732</b>
<b>Total assets</b>		<b>2 067 359</b>	<b>2 033 891</b>	<b>2 019 605</b>
<b>LIABILITIES</b>				
<b>Payables</b>				
Suppliers		3 122	2 264	7 365
Other payables	2.3	1 051	1 407	1 451
<b>Total payables</b>		<b>4 173</b>	<b>3 671</b>	<b>8 816</b>
<b>Interest bearing liabilities</b>				
Leases	2.4	481 883	495 114	481 970
<b>Total interest bearing liabilities</b>		<b>481 883</b>	<b>495 114</b>	<b>481 970</b>
<b>Provisions</b>				
Employee provisions	4.1	11 197	13 016	12 991
Other provisions	2.5	949	937	949
<b>Total provisions</b>		<b>12 146</b>	<b>13 953</b>	<b>13 940</b>
<b>Total liabilities</b>		<b>498 202</b>	<b>512 738</b>	<b>504 726</b>
<b>Net assets</b>		<b>1 569 157</b>	<b>1 521 153</b>	<b>1 514 879</b>
<b>EQUITY</b>				
Contributed equity		68 760	60 732	68 972
Reserves		429 306	382 396	382 397
Retained surplus		1 071 091	1 078 025	1 063 510
<b>Total equity</b>		<b>1 569 157</b>	<b>1 521 153</b>	<b>1 514 879</b>

The above statement should be read in conjunction with the accompanying notes.

**Statement of Changes in Equity***for the period ended 30 June 2021*

	Notes	2021 \$'000	2020 \$'000	Original Budget 2021 \$'000
<b>CONTRIBUTED EQUITY</b>				
<b>Opening balance</b>				
Balance carried forward from previous period		60 732	52 539	60 944
<b>Transactions with owners</b>				
<b>Contributions by owners</b>				
Departmental capital budget	3.1A	8 028	8 193	8 028
<b>Closing balance as at 30 June</b>		<b>68 760</b>	<b>60 732</b>	<b>68 972</b>
<b>RETAINED EARNINGS</b>				
<b>Opening balance</b>				
Balance carried forward from previous period		1 078 025	1 081 401	1 078 023
Adjustment on initial application of AASB 16		-	13 613	-
<b>Adjusted opening balance</b>		<b>1 078 025</b>	<b>1 095 014</b>	<b>1 078 023</b>
<b>Comprehensive income</b>				
Deficit for the period		(6 934)	(16 990)	(14 513)
<b>Closing balance as at 30 June</b>		<b>1 071 091</b>	<b>1 078 025</b>	<b>1 063 510</b>
<b>ASSET REVALUATION RESERVE</b>				
<b>Opening balance</b>				
Balance carried forward from previous period		382 396	382 396	382 397
<b>Comprehensive income</b>				
Revaluation	2.2	46 910	-	-
<b>Closing balance as at 30 June</b>		<b>429 306</b>	<b>382 396</b>	<b>382 397</b>
<b>TOTAL EQUITY</b>				
<b>Closing balance as at 30 June</b>		<b>1 569 157</b>	<b>1 521 153</b>	<b>1 514 879</b>

The above statement should be read in conjunction with the accompanying notes.

**Cash Flow Statement***for the period ended 30 June 2021*

	2021	2020	Original Budget 2021
	\$'000	\$'000	\$'000
<b>OPERATING ACTIVITIES</b>			
<b>Cash received</b>			
Appropriations <sup>1</sup>	73 543	72 710	66 150
Sale of goods and rendering of services	2 133	2 942	2 370
Net GST received	4 212	3 973	3 265
Other	1 112	87	-
<b>Total cash received</b>	<b>81 000</b>	<b>79 712</b>	<b>71 785</b>
<b>Cash used</b>			
Employees	34 138	32 122	34 025
Suppliers	16 621	15 800	10 289
Interest payments on lease liabilities	12 243	12 005	12 353
Grants	18	34	-
Section 74 receipts transferred to OPA <sup>1</sup>	2 270	6 556	1 974
<b>Total cash used</b>	<b>65 290</b>	<b>66 517</b>	<b>58 641</b>
<b>Net cash from/(used by) operating activities</b>	<b>15 710</b>	<b>13 195</b>	<b>13 144</b>
<b>INVESTING ACTIVITIES</b>			
<b>Cash received</b>			
Proceeds from sales of non-financial assets	9	21	-
<b>Total cash received</b>	<b>9</b>	<b>21</b>	<b>-</b>
<b>Cash used</b>			
Purchase of non-financial assets	9 003	7 674	8 028
<b>Total cash used</b>	<b>9 003</b>	<b>7 674</b>	<b>8 028</b>
<b>Net cash used by investing activities</b>	<b>(8 994)</b>	<b>(7 653)</b>	<b>(8 028)</b>
<b>FINANCING ACTIVITIES</b>			
<b>Cash received</b>			
Contributed equity	8 028	8 192	8 028
<b>Total cash received</b>	<b>8 028</b>	<b>8 192</b>	<b>8 028</b>
<b>Cash used</b>			
Principal payments of lease liabilities	13 264	14 331	13 144
<b>Total cash used</b>	<b>13 264</b>	<b>14 331</b>	<b>13 144</b>
<b>Net cash from/(to) financing activities</b>	<b>(5 236)</b>	<b>(6 139)</b>	<b>(5 116)</b>
<b>Net increase/(decrease) in cash held</b>	<b>1 480</b>	<b>(597)</b>	<b>-</b>
Cash at the beginning of the reporting period	264	861	265
<b>Cash at the end of the reporting period</b>	<b>1 744</b>	<b>264</b>	<b>265</b>

The above statement should be read in conjunction with the accompanying notes.

1. The Original Budget 2020-21 comprises Annual Appropriations net of section 74 receipts, GST and the impact of accounting standard AASB 16 Leases. The budget will be realigned in the next budget round.

### Budget Variances Commentary

for the period ended 30 June 2021

The following table provides high-level commentary on major variances between the budgeted information for the National Archives as published in the 2020-21 Portfolio Budget Statements, and the final financial outcome as presented in accordance with Australian accounting standards.

Major variances are those relevant to an analysis of the performance of the National Archives and not focused merely on numerical differences between budget numbers and actual outcomes.

Explanation of major variances	Variance to budget		Affected line items
	\$'000	%	
Donations from public exceeded expectations. The National Archives does not budget for donations due to their unpredictable nature.	1 139	-	<i>Statement of Comprehensive Income</i> , Other revenue
		-	<i>Statement of Financial Position</i> , Cash
Department of Finance guidance changing the accounting method and bond yield rate resulted in a reduction in the long service leave provision and benefits accrued to employees (\$1.05m) combined with the effect of a change in staff profile (\$0.19m) and leave taken/paid out (\$0.36m).	(1 604)	-5%	<i>Statement of Comprehensive Income</i> , Employee benefits
		-12%	<i>Statement of Financial Position</i> , Employee provisions
Acquisition of records from other agencies to the National Archives exceeded estimates.	3 269	32%	<i>Statement of Comprehensive Income</i> , Intake of records from other agencies
In accordance with the asset management policy of the National Archives, the heritage and cultural collection is revalued every three years. The National Archives does not budget for revaluations.	46 910	-	<i>Statement of Comprehensive Income</i> , Change in asset revaluation reserve
		3%	<i>Statement of Financial Position</i> , Heritage and cultural
		12%	<i>Statement of Changes in Equity</i> , Asset revaluation reserve
Additional funding from external entities enabled a greater than expected digitisation of records.	1 494	9%	<i>Statement of Financial Position</i> , Other intangibles

## Overview

### Objectives of the National Archives of Australia

The National Archives of Australia (the National Archives) is an Australian Government controlled not-for-profit entity. The National Archives' role is to preserve Australia's most valuable government records, encourage their use by the public and promote good records management by Australian Government agencies.

The National Archives is structured to meet the single outcome: To promote the creation, management and preservation of authentic, reliable and useable Commonwealth records and to facilitate Australians' access to the archival resources of the Commonwealth.

### The Basis of Preparation

The financial statements are general purpose financial statements and are required by section 42 of the *Public Governance, Performance, and Accountability Act 2013*.

The financial statements have been prepared in accordance with:

- a) *Public Governance, Performance and Accountability (Financial Reporting) Rule 2015* (FRR); and
- b) Australian Accounting Standards and Interpretations - Reduced Disclosure Requirements issued by the Australian Accounting Standards Board (AASB) that apply for the reporting period.

The financial statements have been prepared on an accrual basis and in accordance with the historical cost convention, except for certain assets and liabilities at fair value. Except where stated, no allowance is made for the effect of changing prices on the results or the financial position.

The financial statements are presented in Australian dollars and values are rounded to the nearest thousand dollars unless otherwise specified.

### New Accounting Standards

New, revised and amending standards and interpretations that were issued prior to the sign-off date and are applicable to the current reporting period did not have a material effect on the entity's financial statements.

### Intake of records from other agencies

The National Archives collects official Commonwealth government records, and the personal records of governors-general, prime ministers, ministers, federal and High Court judges and some senior Commonwealth public servants. Our collection grows through the transfer of records from the custody of government agencies and Commonwealth persons into the National Archives.

Prior to 2020-21, the intake of records from other agencies was shown as Other Revenue. The intake of records is now shown as Gains to ensure consistency with government accounting policy and enable comparability with other agencies.

### Taxation

The National Archives is exempt from all forms of taxation except Fringe Benefits Tax (FBT) and the Goods and Services Tax (GST).



## Financial Performance

This section analyses the financial performance of the Archives for the year ended 30 June 2021.

### 1.1: Expenses

	2021 \$'000	2020 \$'000
<b>1.1A: Employee Benefits</b>		
Wages and salaries	23 871	23 587
Superannuation		
Defined contribution plans	2 435	2 263
Defined benefit plans	2 842	2 850
Leave and other entitlements	3 138	4 743
Separation and redundancies	-	113
Other	110	99
<b>Total employee benefits</b>	<b>32 396</b>	<b>33 655</b>

#### Accounting Policy

Accounting policies for employee related expenses are contained in the People and Relationships section.

### 1.1B: Suppliers

#### Goods and services supplied or rendered

Office equipment and supplies	2 742	2 098
Communications	926	753
Professional services	1 793	4 330
Travel	242	451
Managed Services	665	380
Exhibitions and advertising	216	279
Employee related expenses	971	1 406
Utilities	895	845
Other property operating expenses	2 362	2 065
Other	507	366
<b>Total goods and services supplied or rendered</b>	<b>11 319</b>	<b>12 973</b>

Goods supplied	1 751	818
Services rendered	9 568	12 155
<b>Total goods and services supplied or rendered</b>	<b>11 319</b>	<b>12 973</b>

#### Other suppliers

Workers compensation expenses	104	132
Short-term leases <sup>1</sup>	210	445
<b>Total other suppliers</b>	<b>314</b>	<b>576</b>
<b>Total suppliers</b>	<b>11 633</b>	<b>13 550</b>

1. The National Archives has short-term lease commitments of \$74 839 as at 30 June 2021 (2020: \$86 097). The above lease disclosures should be read in conjunction with the accompanying notes 1.1C, 1.2B, and 2.2.

#### Accounting Policy

##### *Short-term Leases and Leases of Low-value Assets*

The National Archives has elected not to recognise right-of-use assets and lease liabilities for short-term leases of assets that have a lease term of 12 months or less and leases of low-value assets (less than \$10,000). The entity recognises the lease payments associated with these leases as an expense on a straight-line basis over the lease term.

**1.2: Own-Source Revenue**

	2021 \$'000	2020 \$'000
<b>1.2A: Revenue from contracts with customers</b>		
Sale of goods	1 133	1 165
Rendering of services	1 010	481
<b>Total revenue from contracts with customers</b>	<b>2 143</b>	<b>1 646</b>
<b>Disaggregation of revenue from contracts with customers</b>		
Goods and services transferred at a point in time		
Digitisation for provision of records	1 109	1 143
Shop sales	24	22
Other contracts	83	4
	1 216	1 169
Goods and services transferred over time		
Sponsorships	137	180
Grants	409	81
Temporary storage	342	201
Exhibition hire	39	15
	927	477
	2 143	1 646

**Accounting Policy**

Revenue from the sale of goods and services is recognised when control has been transferred to the buyer:

- a) An enforceable contract can be identified
- b) Performance obligations can be identified
- c) A transaction price can be determined
- d) The transaction price can be allocated to each performance obligation
- e) The performance obligations have been satisfied.

**Description of principal revenue-raising activities**

The National Archives' primary source of revenue from contracts with customers is from the provision of digitised records when requested by private or government entities. The fee is set by legislation and is on a cost recovery basis. A small amount of revenue is received from sales by the shop, venue hire and running of exhibition tours.

Revenue is received from sponsorships and grants. In all cases, the agreements are enforceable and the transaction price can be readily determined. However, for some sponsorships, the performance obligations are not sufficiently identifiable and therefore they cannot be classified as revenue from contracts with customers; these are classified as 'Other Revenue' (see note 1.2C). In other cases, the obligations are clearly detailed and the revenue can be classified as contracts with customers. Revenue is recognised when the money is spent as this is regarded as the point at which control of the funds pass.

The entity receives revenue from other agencies for temporary storage of their records until they are ready to transfer the records to permanent custody of the National Archives. Such revenue is recognised over the term of the storage, which is usually annually by financial year.

Occasionally, third parties hire exhibitions created by the National Archives; this revenue is recognised over the term of the hire.

The transaction price is the total amount of consideration to which the National Archives expects to be entitled in exchange for transferring the goods or services to a customer. The consideration promised in a contract with a customer may include fixed amounts, variable amounts, or both.

**1.2: Own-Source Revenue**

	2021 \$'000	2020 \$'000
<b>1.2B: Rental Income</b>		
Operating lease income	328	143
<b>Total rental income</b>	<b>328</b>	<b>143</b>

**Operating leases**

The National Archives in its capacity as lessor has sublease agreements for rental properties for fixed terms and amounts expiring 2026. Premises at Sandford Street in Mitchell, ACT, are sub-leased to two government agencies for various terms.

**Maturity analysis of future operating lease income receivables:**

Within one year	338	328
One to two years	348	332
Two to three years	358	336
Three to four years	369	340
Four to five years	232	344
More than 5 years	-	201
<b>Total undiscounted future operating lease income receivables</b>	<b>1 645</b>	<b>1 881</b>

The above lease disclosures should be read in conjunction with the accompanying notes 1.1B, 1.1C, and 2.2. The operating lease income receivables for 2019-20 have had a minor revision of \$92,000 since the 2019-20 financial statements were published.

**1.2C: Other Revenue**

Resources received free of charge		
Remuneration of auditors	75	75
Other		
Donations	1 139	-
Other	2	7
<b>Total other revenue</b>	<b>1 216</b>	<b>83</b>

**Accounting Policy*****Resources Received Free of Charge***

Resources received free of charge are recognised as revenue only when a fair value can be reliably determined and the services would have been purchased if they had not been donated. Use of those resources is recognised as an expense. Resources received free of charge are recorded as either revenue or gains depending on their nature.

Financial Position

This section analyses the Archives' assets used to conduct its operations and the operating liabilities incurred as a result. Employee related information is disclosed in the People and Relationships section.

2.1 Financial Assets

	2021 \$'000	2020 \$'000
<b>2.1: Trade and Other Receivables</b>		
Appropriations receivable	18 228	22 166
Trade receivables	39	38
GST receivable from the ATO	404	380
Other	36	7
<b>Total trade and other receivables (gross)</b>	<b>18 707</b>	<b>22 591</b>

Accounting Policy

Financial Assets

Trade receivables, loans and other receivables that are held for the purpose of collecting the contractual cash flows where the cash flows are solely payments of principal and interest, that are not provided at below-market interest rates, are initially recognised at fair value and subsequently measured at amortised cost using the effective interest method adjusted for any loss allowance.

**2.2 Non-Financial Assets****2.2: Reconciliation of the Opening and Closing Balances of Heritage and Cultural, Buildings, Plant and Equipment and Intangibles**

	Buildings (right of use) \$'000	Property, plant and equipment \$'000	Heritage and cultural <sup>1</sup> \$'000	Software <sup>2</sup> \$'000	Other Intangibles \$'000	Total \$'000
<b>As at 1 July 2020</b>						
Gross book value	509 366	26 703	1 497 042	20 644	18 750	2 072 506
Accumulated depreciation and impairment	(23 034)	(4 134)	(14 019)	(16 606)	(4 584)	(62 376)
<b>Total as at 1 July 2020</b>	<b>486 332</b>	<b>22 569</b>	<b>1 483 024</b>	<b>4 038</b>	<b>14 167</b>	<b>2 010 130</b>
<b>Additions:</b>						
Purchase	-	4 975	-	761	4 715	10 451
Right-of-use assets	5	29	-	-	-	34
Intake of records from other agencies	-	-	13 344	-	-	13 344
Revaluations and impairments recognised in other comprehensive income	-	-	46 910	-	-	46 910
Depreciation and amortisation	-	(3 565)	(6 425)	(925)	-	(10 915)
Depreciation on right-of-use assets	(23 935)	(30)	-	-	-	(23 965)
Disposals	-	(42)	-	(84)	-	(126)
<b>Total as at 30 June 2021</b>	<b>462 402</b>	<b>23 936</b>	<b>1 536 853</b>	<b>3 790</b>	<b>18 882</b>	<b>2 045 863</b>
<b>Total as at 30 June 2021 represented by</b>						
Gross book value	509 371	31 598	1 537 393	18 620	23 466	2 120 448
Accumulated depreciation and impairment	(46 969)	(7 662)	(540)	(14 830)	(4 584)	(74 585)
<b>Total as at 30 June 2021 represented by</b>	<b>462 402</b>	<b>23 936</b>	<b>1 536 853</b>	<b>3 790</b>	<b>18 882</b>	<b>2 045 863</b>
Carrying amount of right-of-use assets included above	462 402	58	-	-	-	462 460

1. Other property, plant and equipment that met the definition of a heritage and cultural item were disclosed in the heritage and cultural asset class.

2. The carrying amount of computer software included \$2 260m purchased software and \$1 530m internally generated software.

**Revaluations of non-financial assets**

All revaluations were conducted in accordance with the revaluation policy shown on the next page. The National Archives has performed an assessment as at 30 June 2021 for all assets and determined that the asset carrying amounts do not materially differ from their fair value. The heritage and cultural collection was valued professionally on 30 April 2021. Property, plant and equipment were valued professionally on 30 June 2019.

**Contractual commitments for the acquisition of property, plant, equipment, software and other intangible assets**

As at 30 June 2021, the National Archives has contractual commitments for acquisition of assets, comprising:

	\$'000
Property, plant,	814
Software	2 563
Other intangibles	5 035
	<u>8 412</u>

## 2.2 Non- Financial Assets

### Accounting Policy

#### Asset Recognition Threshold

Asset purchases are recognised initially at cost in the statement of financial position with an asset recognition threshold for Information Technology (IT) equipment of \$1,000 (exc. GST) and a threshold of \$2,000 (exc. GST) for all other assets. Where the cost of purchasing IT equipment and other assets is below the respective threshold, the amount is expensed in the year of acquisition (other than where they form part of a group of similar items which are significant in total).

The initial cost of an asset includes an estimate of the cost of dismantling and removing the item and restoring the site on which it is located. This is particularly relevant to 'make good' provisions in property leases taken up by the National Archives where there exists an obligation to restore the premises to its original condition. These costs are included in the value of the National Archives' plant and equipment with a corresponding provision for the 'make good' recognised. (Refer to the provision for restoration obligations in note 2.5.)

#### Lease Right-of-Use (ROU) Assets

Leased ROU assets are capitalised at the commencement date of the lease and comprise the initial lease liability amount, initial direct costs incurred when entering into the lease, less any lease incentives received. These assets are accounted for by the National Archives as separate asset classes to the corresponding assets owned outright, but are included in the same column in the reconciliation table as where the corresponding underlying assets would be presented if they were owned.

An impairment review is undertaken for any right-of-use asset that shows indicators of impairment and an impairment loss is recognised against any right-of-use asset which is impaired.

Lease right-of-use assets continue to be recognised at cost after initial recognition in Commonwealth agency, CGS and Whole of Government financial statements.

#### Revaluation

Following initial recognition at cost, heritage and cultural and plant and equipment assets (excluding right-of-use assets) are carried at fair value (or an amount not materially different from fair value) less accumulated depreciation and accumulated impairment losses. Valuations are conducted with sufficient frequency to ensure that the carrying amounts of assets do not differ materially from the assets' fair values as at the reporting date. The regularity of independent valuations depends upon the volatility of movements in market values for the relevant assets.

Revaluation adjustments are made on a class basis. Any revaluation increment is credited to equity under the heading of asset revaluation reserve except to the extent that it reverses a previous revaluation decrement of the same asset class that was previously recognised in the surplus/deficit. Revaluation decrements for a class of assets are recognised directly in the surplus/deficit except to the extent that they reverse a previous increment for that class.

Any accumulated depreciation as at the revaluation date is eliminated against the gross carrying amount of the asset and the asset is restated to the revalued amount.

#### Depreciation and Amortisation

Depreciable buildings, property, plant and equipment assets and intangibles (excluding the digital collection in other intangibles assets) are written-off to their estimated residual values over their estimated useful lives to the National Archives using, in all cases, the straight-line method of depreciation.

Depreciation and amortisation rates (useful lives), residual values and methods are reviewed at each reporting date and necessary adjustments are recognised in the current, or current and future reporting periods, as appropriate.

Depreciation and amortisation rates applying to each class of depreciable asset are based on the following useful lives:

Assets class	Useful life
Buildings (all right-of-use assets)	1 - 30 years
Property, plant and equipment (including right-of-use assets)	2 - 30 years
Heritage and cultural	29 - 349 years
Software	2 - 20 years

## 2.2 Non- Financial Assets

### Accounting Policy (continued)

The depreciation rates for right-of-use assets are based on the commencement date, to the earlier of the end of the useful life of the right-of-use asset or the end of the lease term.

#### Impairment

All assets were assessed for impairment at 30 June 2021. Where indications of impairment exist, the asset's recoverable amount is estimated and an impairment loss recognised if the asset's recoverable amount is less than its carrying amount.

The recoverable amount of an asset is the higher of its fair value less costs to sell and its value in use. Value in use is the present value of the future cash flows expected to be derived from the asset. Where the future economic benefit of an asset is not primarily dependent on the asset's ability to generate future cash flows, and the asset would be replaced if the Archives were deprived of the asset, its value in use is taken to be its depreciated replacement cost.

#### Derecognition

Non-financial assets are derecognised upon disposal or when no further future economic benefits are expected from its use or disposal.

#### Heritage and Cultural Assets

The national archival collection includes records in a wide variety of media including files and card records, account books and ledgers, architectural models, photographs, films and video tapes, optical disks and computer tapes. High value records are stored in specially designed temperature and humidity controlled environments (where required).

Curatorial and preservation policies for heritage and cultural assets can be accessed at the website [naa.gov.au](http://naa.gov.au).

#### Intangibles

The Archives' intangibles comprise internally developed software for internal use, purchases of licensed software and a digitised collection that is both internally and externally digitised.

#### Significant accounting estimates and judgements

The fair value of plant and equipment has been taken to be the depreciated replacement cost or market value of similar assets as assessed by an independent valuer every three years.

The fair value of heritage and cultural assets is based on market observations as assessed by an independent valuer every three years. The Archival Collection is diverse with many objects being iconic with limited markets for comparison. Values for the sample are determined by reference to the archival materials markets. The Archives has made significant estimates in measuring the impact of provenance to the value of collection objects. A sampling methodology is adopted for some collection categories whereby a sample of objects is selected from each collection category and an average value applied to the entire collection category. Furthermore some collection categories are valued with reference to the value by shelf metre or file size.

The valuation of the collection is subject to a high level of estimation uncertainty. This uncertainty arises from a number of factors including: many of the collection items are unique and there are few comparable transactions; there is limited active market for most of the items in the collection; the National Archives does not sell assets and therefore has no history of testing the market price; and the collections comprises many items and the valuation process therefore depends on sampling, as explained above and this gives rise to the risks inherent in sampling.

Effective 1 July 2012 the intangible digital collections are not amortised as their useful lives have been determined as indefinite. The useful lives of these collections are reviewed annually to determine whether events and circumstances continue to support an indefinite useful life assessment for that collection.

2.3: Payables

	2021 \$'000	2020 \$'000
<b>2.3: Other Payables</b>		
Wages and salaries	556	501
Superannuation	102	81
Contract liabilities <sup>1</sup>	393	825
<b>Total other payables</b>	<b>1 051</b>	<b>1 407</b>

1. Contract liabilities are funds received in advance from contracts with customers where the National Archives has an obligation to transfer goods or services to the customers. The contract liabilities are associated with revenue received from sponsorships which are judged to be contracts with customers. Contract liabilities should be read in conjunction with notes 1.2A and 1.2C.



**2.4: Interest Bearing Liabilities**

	2021 \$'000	2020 \$'000
<b>2.4: Interest Bearing Liabilities</b>		
Lease Liabilities	481 883	495 114
<b>Total lease liabilities</b>	<b>481 883</b>	<b>495 114</b>

The cash outflow for leases for the year ended 30 June 2021 was \$25.5m (2020: \$24.2m).

**Maturity analysis - contractual undiscounted cash flows**

Within one year	25 259	24 150
One to five years	106 255	106 584
More than 5 years	527 559	553 724
<b>Total leases</b>	<b>659 073</b>	<b>684 458</b>

The National Archives has a number of long term property leases for storage facilities and office space in locations around Australia, for terms ranging from 3 to 30 years, some with up to two options of 1 to 5 years. These leases contain a wide range of terms and conditions. There are also a small number of leased vehicles with fixed terms of 3 years.

The above lease disclosures should be read in conjunction with the accompanying notes 1.1B, 1.1C, and 2.2.

**Accounting Policy**

For all new contracts entered into, the National Archives considers whether the contract is, or contains a lease. A lease is defined as 'a contract, or part of a contract, that conveys the right to use an asset (the underlying asset) for a period of time in exchange for consideration'.

Once it has been determined that a contract is, or contains a lease, the lease liability is initially measured at the present value of the lease payments unpaid at the commencement date, discounted using the interest rate implicit in the lease, if that rate is readily determinable, or the department's incremental borrowing rate.

Subsequent to initial measurement, the liability will be reduced for payments made and increased for interest. It is remeasured to reflect any reassessment or modification to the lease. When the lease liability is remeasured, the corresponding adjustment is reflected in the right-of-use asset or profit and loss depending on the nature of the reassessment or modification.

**2.5: Other Provisions**

	2021 \$'000	2020 \$'000
<b>2.5: Other Provisions</b>		
Provision for restoration	949	937
<b>Total other provisions</b>	<b>949</b>	<b>937</b>
	<b>Provision for restoration \$'000</b>	
<b>As at 1 July 2020</b>	<b>937</b>	
Unwinding of discount or change in discount rate	12	
<b>Total as at 30 June 2021</b>	<b>949</b>	

The National Archives currently has 2 (2020: 2) agreements for the leasing of premises which have provisions requiring us to restore the premises to their original condition at the conclusion of the lease. The National Archives has made a provision to reflect the present value of this obligation. The provision was informed by independent valuer Jones Land LaSalle Advisory Services in June 2019.

## Funding

This section identifies the Archives' funding structure.

### 3.1: Appropriations

	2021 \$'000	2020 \$'000
<b>3.1A: Annual Appropriations ('Recoverable GST exclusive')</b>		
<b>Departmental</b>		
Ordinary annual services	67 335	67 633
Capital Budget <sup>1</sup>	8 028	8 571
Annual Appropriation	75 363	76 204
PGPA Act Section 74 receipts (ordinary annual services)	2 542	6 556
Total Appropriation	77 905	82 760
Appropriation Applied		
Ordinary annual services	70 359	73 826
Capital Budget	9 731	7 674
Total Appropriation Applied	80 090	81 500
<b>Variance</b>	<b>(2 185)</b>	<b>1 260</b>

1. Departmental Capital Budgets are appropriated through the Supply Act (No. 1) and the Appropriation Act (No. 1). They form part of ordinary annual services, and are not separately identified in the Appropriation Acts.

### 3.1B: Unspent Annual Appropriations ('Recoverable GST exclusive')

<b>Departmental</b>		
Appropriation Bill (No. 1) 2019-20		19 907
Appropriation Bill (No. 1) 2019-20 - Departmental Capital Budget		2 259
Appropriation Bill (No. 1) 2020-21	15 969	
Appropriation Bill (No. 1) 2020-21 - Departmental Capital Budget	2 259	
<b>Total</b>	<b>18 228</b>	<b>22 166</b>

# People and relationships

This section describes a range of employment and post employment benefits provided to our people and our relationships with other key people.

## 4.1: Employee Provisions

	2021 \$'000	2020 \$'000
<b>Note 4.1: Employee Provisions</b>		
Annual leave	3 722	3 812
Long service leave	7 475	9 204
<b>Total employee provisions</b>	<b>11 197</b>	<b>13 016</b>

### Accounting policy

Liabilities for short-term employee benefits and termination benefits expected within twelve months of the end of reporting period are measured at their nominal amounts.

Other long-term employee benefits are measured as net total of the present value of the defined benefit obligation at the end of the reporting period minus the fair value at the end of the reporting period of plan assets (if any) out of which the obligations are to be settled directly.

#### Leave

The liability for employee benefits includes provision for annual leave and long service leave. The leave liabilities are calculated on the basis of employees' remuneration at the estimated salary rates that will be applied at the time the leave is taken, including the employer superannuation contribution rates pertinent to the National Archives, to the extent that the leave is likely to be taken during service rather than paid out on termination.

The liability for long service leave has been determined by reference to the work of an actuary as at 30 June 2021. The estimate of the present value of the liability takes into account attrition rates and pay increases through promotion and inflation.

#### Superannuation

The Archives' staff are members of the Commonwealth Superannuation Scheme (CSS), the Public Sector Superannuation Scheme (PSS), or the PSS accumulation plan (PSSap), or other complying superannuation funds held outside the Australian Government.

The CSS and PSS are defined benefit schemes for the Australian Government. The PSSap is a defined contribution scheme.

The liability for defined benefits is recognised in the financial statements of the Australian Government and is settled by the Australian Government in due course. This liability is reported in the Department of Finance's administered schedules and notes.

The National Archives makes employer contributions to the employees' defined benefit superannuation scheme at rates determined by an actuary to be sufficient to meet the current cost to the Government. The National Archives accounts for the contributions as if they were contributions to defined contribution plans.

The liability for superannuation recognised as at 30 June 2021 represents outstanding contributions and is recognised in other payables.

**Note 4.2: Key Management Personnel Remuneration**

	2021	2020
	\$'000	\$'000
<b>Note 4.2: Key Management Personnel Remuneration</b>		
Short-term employee benefits	1 516	1 428
Post-employment benefits	250	256
Long-term employee benefits	35	37
<b>Total key management personnel remuneration expenses</b>	<b>1 801</b>	<b>1 721</b>

The total number of key management personnel who are included in the above table are 6 (2020: 8).  
Prior year comparatives are affected by less than a full years of service for 2 KMPs.

**Key Management Personnel**

Key management personnel are those persons having authority and responsibility for planning, directing and controlling the activities of the National Archives directly or indirectly. The National Archives has determined the key management personnel to be the Executive Leadership Team and Portfolio Minister.

The above key management personnel remuneration excludes the remuneration and other benefits of the Portfolio Minister. The Portfolio Minister's remuneration and other benefits are set by the Remuneration Tribunal and are not paid by the entity.

### 4.3 Related Party Disclosures

**Related party relationships:**

The National Archives of Australia is an Australian Government controlled entity. Related parties to the National Archives are Key Management Personnel reported at 4.2, and also the Portfolio Minister and other Australian Government entities.

**Transactions with related parties:**

Given the breadth of Government activities, related parties may transact with the government sector in the same capacity as ordinary citizens. Such transactions include exhibition entry fees, archival record services and donations. These transactions have not been separately disclosed in this note.

Significant transactions with related parties can include:

- the payments of grants or loans;
- purchases of goods and services;
- asset purchases, sales transfers or leases;
- debts forgiven; and
- guarantees.

Giving consideration to relationships with related entities, and transactions entered into during the reporting period by the National Archives, it has been determined that there are no related party transactions to be separately disclosed.

**5.1: Current/non-current distinction for assets and liabilities**

	2021 \$'000	2020 \$'000
<b>5.1: Current/non-current distinction for assets and liabilities</b>		
<b>Assets expected to be recovered in:</b>		
<b>No more than 12 months</b>		
Cash and cash equivalents	1 744	264
Trade and other receivables	18 707	22 591
Inventories	111	145
Prepayments	934	761
<b>Total no more than 12 months</b>	<b>21 496</b>	<b>23 761</b>
<b>More than 12 months</b>		
Buildings (right of use)	462 402	486 332
Property, plant and equipment	23 936	22 569
Heritage and cultural	1 536 853	1 483 024
Software	3 790	4 038
Other intangibles	18 882	14 167
<b>Total more than 12 months</b>	<b>2 045 863</b>	<b>2 010 130</b>
<b>Total assets</b>	<b>2 067 359</b>	<b>2 033 891</b>
<b>Liabilities expected to be settled in:</b>		
<b>No more than 12 months</b>		
Suppliers	3 122	2 264
Other payables	1 051	1 407
Leases	13 750	12 021
Employee provisions	3 138	2 474
<b>Total no more than 12 months</b>	<b>21 061</b>	<b>18 166</b>
<b>More than 12 months</b>		
Leases	468 133	483 093
Employee provisions	8 059	10 542
Other provisions	949	937
<b>Total more than 12 months</b>	<b>477 141</b>	<b>494 572</b>
<b>Total liabilities</b>	<b>498 202</b>	<b>512 738</b>

Prior year comparatives for 2020 were reclassified between expected settlement times to ensure consistency with the expected settlement times for 2021.





## **PART 5**

# **National Archives of Australia Advisory Council Annual Report 2020–21**

## Establishment and functions

The National Archives of Australia Advisory Council (Advisory Council) is established under subsection 10(1) of the Archives Act. The main purpose of the Advisory Council is to provide advice to the minister responsible for the National Archives and the Director-General on matters that relate to the National Archives.

Under section 11 of the Archives Act, the Advisory Council is an advisory body with the following functions:

- The Council shall furnish advice to the Minister and the Director-General with respect to matters to which the functions of the Archives relate.
- The Minister or the Director-General may refer any matter of the kind referred to in section 11 subsection (1) to the Council for advice and the Council may, if it thinks fit, consider and advise the Minister or the Director-General on a matter of that kind of its own motion.

The Archives Act provides that the Advisory Council shall consist of:

- a senator chosen by the Senate
- a member of the House of Representatives chosen by the House
- 11 other members appointed by the Minister.

## Members and meetings

Advisory Council members serve for terms not exceeding three years, and may serve an additional term.

### Chair

Dr Denver Beanland AM

### Parliamentary representatives

The Hon Kevin Andrews MP

Senator the Hon Kim Carr

### Other members

Jade Balfour

Professor (Emeritus) Peter Boyce AO  
(term expired on 11 October 2020)

Adam Creighton (term expired on  
11 October 2020)

Suzanne Hampel OAM

Anne Henderson AM

Dr Rosemary Laing (term expired on  
13 September 2020, re-appointed on  
2 July 2021)

Dr Phil Robertson FTSE

Professor (Emeritus) Sally Walker AM  
(term expired on 14 December 2020,  
re-appointed on 2 July 2021)

Professor John Williams

The Advisory Council met four times in  
2020–21: 4 September 2020, 4 December  
2020, 26 February 2021 and 4 June 2021.

## Statements required under the Archives Act

### Record disposal practices

Section 25 of the Archives Act requires the Director-General to provide the Advisory Council with a statement setting out practices relating to the disposal of Commonwealth records. At each Advisory Council meeting, the National Archives also provides information on records authorities issued to Australian Government agencies.

In 2020–21, the National Archives issued 23 instruments under the Archives Act, including records authorities developed in consultation with individual entities.

In 2020–21, the Advisory Council was notified of six applications for special access to records under section 56(2), three of which had been lodged in 2019. Access was granted in five cases. One application lodged in 2019 remained under consideration as at 30 June 2021.

### Special access to official records

Section 56(2) of the Archives Act provides that an individual may be granted access to Commonwealth records not available for public access. This includes records not yet in the open access period and records assessed as being exempt from public access.

Applications to access closed period or exempt records are made directly to the agencies responsible for controlling them. Decisions on whether to grant access are the responsibility of those agencies.

Special access arrangements have been in place since 1988 to help agencies make decisions about records that are subject to an application for special access.

In accordance with the requirements of section 56(5) of the Archives Act, at each Advisory Council meeting, the National Archives tables a statement detailing requests for, and decisions relating to, access under section 56(2).

## Financial information and secretariat services

The Advisory Council’s operation is funded from the National Archives’ budget appropriation (Table 12). Major expenditure items consist of members’ remuneration, travel allowances and airfares to attend council and other relevant meetings. In addition to direct financial support, the National Archives provides secretariat and administrative services to the council.

**Table 12:** National Archives of Australia  
Advisory Council expenditure, 2020–21

Item	Cost
Remuneration	\$19,306
Travel	\$26,100
Hospitality and catering	\$3,835
<b>Total</b>	<b>\$49,241</b>

## Year in review

### Tune Review

The Advisory Council was pleased the Government released the Functional and Efficiency Review of the National Archives of Australia (Tune Review) and felt heartened by the nation-wide coverage and groundswell of grassroots support from the Australian public.

In the report’s Executive Summary, David Tune AO PSM outlined that the most pressing priorities for the National Archives are the 5th Generation Digital Archive, increased resourcing for digitisation and preservation of at-risk records, and increased capability and authority to improve record keeping and information management.

The Tune Review made 20 recommendations, highlighting the challenges faced by the National Archives in areas such as information technology, cybersecurity, legislative limitations and digitisation of significant records.

The Advisory Council continues to dialogue with the Minister and Director-General on how best to implement the recommendations of the Tune Review.

### Amendments to Archives Act

The Advisory Council, in line with the Tune Review, supports the importance of legislative amendments to enable the National Archives to provide certainty around its functions, powers and responsibilities and to facilitate its digital transformation program.

## World War II and Vietnam War records

The Advisory Council was pleased to hear of the progress in digitising World War II records. The outsourcing of some processes has increased the rate of digitisation; however, under current resourcing, modelling estimates that only 80% of records will be digitised and released for public access.

January 2023 will mark the 50th Anniversary of the end of Australia's participation in the Vietnam War. The Advisory Council supports the National Archives proposition that it should receive funding for the digitisation of military service records of the Australian personnel during this conflict as a measure of national recognition for their service and sacrifice.

## Preservation of records at risk

The Advisory Council remained critically concerned during the year about the pending loss of audiovisual Commonwealth records stored on magnetic tape. While recognising the work being done to preserve these records through digitisation, there was a vital need for additional funding of \$15 million to save this material from loss over the next five years.

The Advisory Council was pleased to hear of the Government's announcement on 1 July 2021 of \$67.7 million in additional funding to enable the National Archives to progress this work and other priority projects and reforms to ensure it is best positioned to deliver in the digital age.

## Palace letters

Following the High Court's decision that correspondence between the Governor-General and Her Majesty The Queen are 'Commonwealth records', the National Archives has received five further applications for public access to correspondence between other governors-general and the private secretary to Her Majesty The Queen.

In reviewing these records, the National Archives has had regard to the provisions of the Archives Act that set out release of records, exemption of records and the process for determining exemptions, and whether non-exempt parts may be released.

The Advisory Council supports amendments to the Archives Act that make clear the types of records considered 'Commonwealth records'.

## New National Archives Public Building

The Advisory Council continues to advocate for a new national office for the National Archives in the Parliamentary Triangle. Various proposals have been presented over the past 100 years for a dedicated, purpose-built facility designed to provide access to the documentary evidence of the decisions of the Commonwealth Government. In 2017–18, the Advisory Council supported the development of an architectural, site-specific response to demonstrate the type of facility that would meet the requirements of the National Archives and be appropriately embedded in the character and identity of the Parliamentary Triangle. The Advisory Council strongly supports any moves to bring this project forward.



## **PART 6**

# **Appendixes**

## Appendix A: Entity resource statements

**Table 13:** Resources allocated to the National Archives – aggregate figures, 2020–21

	Actual available appropriation for 2020–21	Payments made 2020–21	Balance remaining 2020–21
	\$'000 (a)	\$'000 (b)	\$'000 (a) – (b)
<b>Ordinary annual services</b>			
Balance brought forward <sup>1</sup>	22,166	22,166	0
Departmental appropriation <sup>2</sup>	79,059	58,683	20,376
<b>Total ordinary annual services</b>	<b>101,225</b>	<b>80,849</b>	<b>20,376</b>
<b>Total net resourcing</b>	<b>101,225</b>	<b>80,849</b>	<b>20,376</b>

1. Prior year agency appropriations.

2. Includes Appropriation Act No. 1 (2019–20) with an amount of \$8.571 million for the agency capital budget.

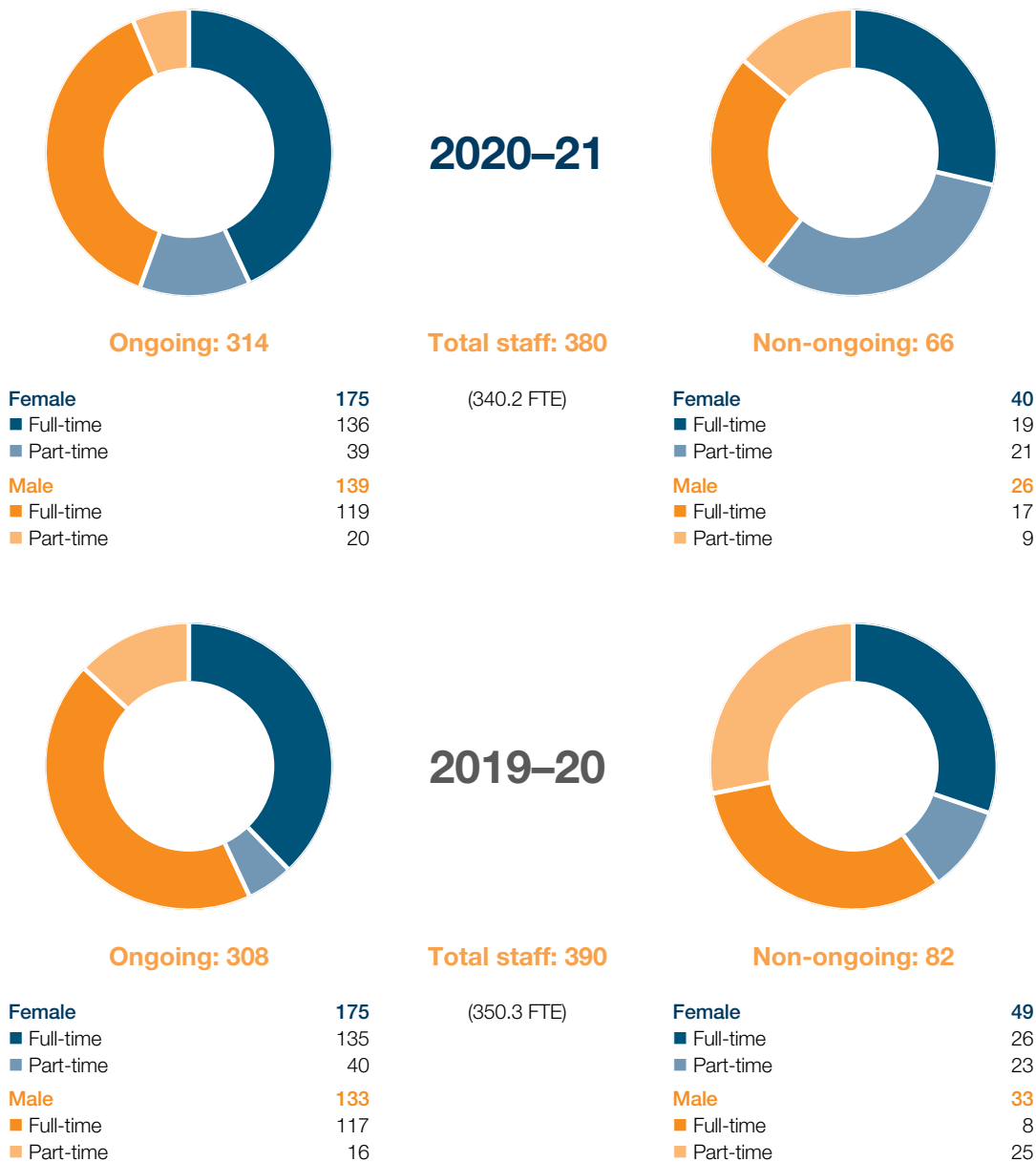


**Table 14:** Resources allocated to the National Archives – aggregate figures, 2020–21

	<b>Budget 2020–21</b>	<b>Actual expenses 2020–21</b>	<b>Variation 2020–21</b>
	\$'000 (a)	\$'000 (b)	\$'000 (a) – (b)
<b>Outcome 1: To promote the creation, management and preservation of authentic, reliable and useable Commonwealth records and to facilitate Australians' access to the archival resources of the Commonwealth.</b>			
<b>Program 1.1: National Archives of Australia</b>			
<b>Departmental expenses</b>			
Ordinary annual services	67,335	67,335	0
Revenue from independent sources	1,974	3,696	-1,722
Expenses not requiring appropriation in the budget year	35,081	34,880	201
<b>Total for Program 1.1</b>	<b>104,390</b>	<b>105,911</b>	<b>-1,521</b>
<b>Total expenses for Outcome 1</b>	<b>104,390</b>	<b>105,911</b>	<b>-1,521</b>
Average staffing level (number)	345	344.4	0.6

## Appendix B: Human resources statistics

Figure 5: Staff statistics, 2020–21 and 2019–20



Note: All figures are on a headcount basis. In both reporting periods, one ongoing, full-time male member of staff was not an APS employee. No staff identified their gender as indeterminate during the reporting period.

**Table 15:** Staff by location, 2020–21 and 2019–20

Location	2020–21			2019–20		
	Ongoing	Non-ongoing	Total	Ongoing	Non-ongoing	Total
NSW	47	9	56	43	13	56
Qld	8	1	9	8	2	10
SA	4	1	5	4	2	6
Tas	3	1	4	3	1	4
Vic	21	1	22	22	2	24
WA	6	1	7	6	1	7
ACT	222	52	274	219	61	280
NT	3	0	3	3	0	3
<b>Total</b>	<b>314</b>	<b>66</b>	<b>380</b>	<b>308</b>	<b>82</b>	<b>390</b>

Note: No staff were located in external territories or overseas during the reporting periods. In both reporting periods, one member of staff located in the ACT was not an APS employee.

**Table 16:** APS employment salary ranges, 2020–21 and 2019–20

Classification	2020–21		2019–20	
	Minimum	Maximum	Minimum	Maximum
SES 1	\$209,311	\$230,616	\$205,812	\$226,761
EL 2	\$126,108	\$152,463	\$121,210	\$145,000
EL 1	\$105,091	\$120,000	\$101,009	\$117,008
APS 6	\$84,949	\$94,255	\$81,650	\$93,899
APS 5	\$75,314	\$80,790	\$72,389	\$77,651
APS 4	\$68,310	\$73,608	\$65,656	\$70,749
APS 3	\$61,305	\$66,427	\$58,923	\$63,847
APS 2	\$54,560	\$59,516	\$52,441	\$57,204
APS 1	\$47,730	\$52,514	\$45,876	\$50,474

**Table 17:** APS employees by classification, 2020–21

Classification	Ongoing			Non-ongoing			Total
	Full-time	Part-time	Total	Full-time	Part-time	Total	
SES 1	5	0	5	0	0	0	5
EL 2	22	2	24	1	0	1	25
EL 1	51	9	60	4	0	4	64
APS 6	55	19	74	3	4	7	81
APS 5	48	11	59	4	2	6	65
APS 4	48	12	60	5	5	10	70
APS 3	11	5	16	7	9	16	32
APS 2	8	0	8	2	0	2	10
APS 1	6	1	7	10	10	20	27
<b>Total</b>	<b>254</b>	<b>59</b>	<b>313</b>	<b>36</b>	<b>30</b>	<b>66</b>	<b>379</b>

Note: 4 APS employees identified as Aboriginal or Torres Strait Islander.

**Table 18:** APS employees by classification, 2019–20

Classification	Ongoing			Non-ongoing			Total
	Full-time	Part-time	Total	Full-time	Part-time	Total	
SES 1	6	0	6	0	0	0	6
EL 2	22	1	23	0	0	0	23
EL 1	49	12	61	1	1	2	63
APS 6	60	20	80	5	3	8	88
APS 5	46	9	55	5	3	8	63
APS 4	43	10	53	10	6	16	69
APS 3	13	4	17	9	1	10	27
APS 2	5	0	5	3	11	14	19
APS 1	7	0	7	18	6	24	31
<b>Total</b>	<b>251</b>	<b>56</b>	<b>307</b>	<b>51</b>	<b>31</b>	<b>82</b>	<b>389</b>

Note: 5 APS employees identified as Aboriginal or Torres Strait Islander.

Appendix C: Executive remuneration statistics

Table 19: Information about remuneration for key management personnel

Name	Position title	Short-term benefits			Post-employment benefits	Other long-term benefits		Termination benefits	Total remuneration <sup>4</sup>
		Base salary <sup>1</sup>	Bonuses	Other benefits and allowances <sup>2</sup>		Long service leave <sup>3</sup>	Other long-term benefits		
		\$	\$	\$	\$	\$	\$	\$	\$
Yaso Arumugam	Assistant Director-General, Information and Technology	235,421	0	0	42,443	5,681	0	0	283,545
Louise Doyle	Assistant Director-General, Access and Public Engagement	220,670	0	0	39,510	5,300	0	0	265,480
Ruth Fenwick	Assistant Director-General, Corporate Services	213,029	0	0	39,925	5,236	0	0	258,190

Name	Position title	Short-term benefits				Post-employment benefits	Other long-term benefits		Termination benefits	Total remuneration <sup>4</sup>
		Base salary <sup>1</sup>	Bonuses	Other benefits and allowances <sup>2</sup>			Long service leave <sup>3</sup>	Other long-term benefits		
		\$	\$	\$	\$	\$	\$	\$	\$	\$
Steven Fox	Assistant Director-General, Collection Management	215,770	0	0	43,276	5250	0	0	0	264,296
David Fricker	Director-General	359,161	0	0	52,914	8548	0	0	0	420,622
Jason McGuire	Assistant Director-General, Government Data and Policy (acting)	211,467	0	0	31,715	5131	0	0	0	248,314

1. Includes annual leave paid and the net movement in annual leave balance in the current reporting period.

2. Includes benefits that form part of the individual's remuneration package, car parking or motor vehicle fringe benefits, and other allowances.

3. Includes long service leave (LSL) paid and the net movement in LSL balance in the current reporting period.

4. All amounts are calculated on an accrual basis, which means there will be differences between the total remuneration amount disclosed in the annual report and the amount included on an individual's annual payment summary (on a cash basis).

Table 20: Information about remuneration for senior executives

Total remuneration bands	Number of senior executives	Short-term benefits			Post-employment benefits	Other long-term benefits		Termination benefits	Total remuneration
		Average base salary	Average bonuses	Average other benefits and allowances		Average long service leave	Average other long-service leave		
		\$	\$	\$	\$	\$	\$	\$	\$
\$245,001 to \$270,000	4	215,234	0	0	38,607	5,229	0	0	259,070
\$270,001 to \$295,000	1	235,421	0	0	42,443	5,681	0	0	283,545
\$370,001 to \$395,000	1	359,161	0	0	52,914	8,548	0	0	420,622



## **PART 7**

# **Glossary and indexes**

## Glossary

Access	The right, opportunity or means of finding, using or retrieving information, usually subject to rules and conditions.
Access examination	The process of examining records to identify any information that falls within the definition of 'exempt' as prescribed by the <i>Archives Act 1983</i> (Archives Act).
Application	A request for access to a record under the Archives Act.
Building Trust in the Public Record	A whole-of-government approach to information governance, developed by the National Archives, identifying key requirements for managing Australian Government information assets (records, information and data).
Check-up PLUS	The National Archives' online survey tool to collect data from Australian Government entities on their information management capabilities.
Custody	The responsibility for the care of records and archives, usually based on their physical possession. It does not necessarily include legal ownership.
Digital Continuity 2020	Superseded by the Building Trust in the Public Record policy.
Exempt	As defined in the Archives Act, <a href="https://legislation.gov.au/Details/C2021C00218">legislation.gov.au/Details/C2021C00218</a> .
Folio	A single leaf of paper or a page of a register, usually numbered only on one side.
Item	The smallest intellectually indivisible archival unit. For example, a letter, memorandum, report, photograph or sound recording.
Open access period	The time when Commonwealth records are eligible for release under the Archives Act. The public has a general right of access to Commonwealth records in the open access period, subject to certain exemptions.
Preservation	The processes and operations involved in ensuring the technical and intellectual survival of authentic records through time. Encompasses environmental control, security, creation, storage, handling and disaster planning for records in all formats – maintaining accessibility and usability.
Record	Any information created, sent or received in the course of carrying out the business of an agency. Records have many formats, including paper documents, photographs, audiovisual items and digital material.
Records authority	The legal instrument issued by the National Archives that defines the permissible disposal of records. Records authorities define how long records are to be kept and identify those records that must be transferred to the National Archives for permanent retention.
RecordSearch	The National Archives' online database of records in its collection.

## Abbreviations and acronyms

AASB	Australian Accounting Standards Board
AAT	Administrative Appeals Tribunal
ACT	Australian Capital Territory
Advisory Council	National Archives of Australia Advisory Council
AM	Member of the Order of Australia
AO	Officer of the Order of Australia
APP	Australian Privacy Principle
APS	Australian Public Service
Archives Act	<i>Archives Act 1983</i>
BAU	business-as-usual
CAARA	Council of Australasian Archives and Records Authorities
CO <sub>2</sub>	carbon dioxide
COVID-19	2019 novel coronavirus
CPA	Certified Practising Accountant
DFAT	Department of Foreign Affairs and Trade
EL	Executive level
FICA	Fellow of the Institute of Chartered Accountants Australia
FOI	freedom of information
FOI Act	<i>Freedom of Information Act 1982</i>
FRR	Financial Reporting Rule
FTE	full-time equivalent
FTSE	Fellow of the Australian Academy of Technological Sciences and Engineering
GAIN	Government Agencies Information Network
GST	goods and services tax
Hon	Honourable
IAMS	Integrated Archival Management System
ICA	International Council on Archives
ICDH	International Centre for Documentary Heritage

ICT	information and communication technologies
IPS	Information Publication Scheme
kg	kilograms
kl	kilolitres
kWh	kilowatt-hour
LGBTIQA+	lesbian, gay, bisexual, transgender/transsexual, intersex, queer/questioning, asexual and many other terms (such as non-binary and pansexual)
LSL	long service leave
MJ	megajoule
MOU	memorandum of understanding
MP	Member of Parliament
N/A	not applicable
NAA	National Archives of Australia
NABERS	National Australian Built Environment Rating System
National Archives	National Archives of Australia
NSW	New South Wales
NT	Northern Territory
OAM	Medal of the Order of Australia
PACER program	Parliament and Civics Education Rebate program
PBS	Portfolio Budget Statements
PGPA Act	<i>Public Governance, Performance and Accountability Act 2013</i>
PGPA Rule	<i>Public Governance, Performance and Accountability Rule 2014</i>
PS Act	<i>Public Service Act 1999</i>
Qld	Queensland
QR code	quick response code
RAP	Reconciliation Action Plan
RFT	Request for Tender
SA	South Australia

SBS	Special Broadcasting Service
SES	Senior Executive Service
SME	Small and Medium Enterprises
Tas	Tasmania
TB	terabyte
Tune Review	Functional and Efficiency Review of the National Archives of Australia
UNESCO	United Nations Educational, Scientific and Cultural Organisation
Vic	Victoria
WA	Western Australia
WHS Act	<i>Work Health and Safety Act 2011</i>

## List of requirements

Below is the table set out in Schedule 2 of the PGPA Rule. Section 17AJ(d) requires this table be included in entities' annual reports as an aid of access.

PGPA Rule reference	Part of report	Description	Requirement	Page
<b>17AD(g) Letter of transmittal</b>				
17AI	Letter of transmittal	A copy of the letter of transmittal signed and dated by accountable authority on date final text approved, with statement that the report has been prepared in accordance with section 46 of the Act and any enabling legislation that specifies additional requirements in relation to the annual report.	Mandatory	3
<b>17AD(h) Aids to access</b>				
17AJ(a)	Contents	Table of contents	Mandatory	4
17AJ(b)	Index	Alphabetical index	Mandatory	128
17AJ(c)	Glossary	Glossary of abbreviations and acronyms	Mandatory	112
17AJ(d)	List of requirements	List of requirements	Mandatory	116
17AJ(e)	Contact	Details of contact officer	Mandatory	2
17AJ(f)	Contact	Entity's website address	Mandatory	2
17AJ(g)	Contact	Electronic address of report	Mandatory	2
<b>17AD(a) Review by accountable authority</b>				
17AD(a)	Director-General's review	A review by the accountable authority of the entity	Mandatory	6
<b>17AD(b) Overview of the entity</b>				
17AE(1)(a)(i)	Purpose, role and functions	A description of the role and functions of the entity	Mandatory	10
17AE(1)(a)(ii)	Organisational structure	A description of the organisational structure of the entity	Mandatory	11

PGPA Rule reference	Part of report	Description	Requirement	Page
17AE(1)(a)(iii)	Outcome and program structure	A description of the outcomes and programs administered by the entity	Mandatory	11
17AE(1)(a)(iv)	Purpose, role and functions	A description of the purposes of the entity as included in corporate plan	Mandatory	10
17AE(1)(aa)(i)	Accountable authority	Name of the accountable authority or each member of the accountable authority	Mandatory	10
17AE(1)(aa)(ii)	Accountable authority	Position title of the accountable authority or each member of the accountable authority	Mandatory	10
17AE(1)(aa)(iii)	Accountable authority	Period as the accountable authority or member of the accountable authority within the reporting period	Mandatory	10
17AE(1)(b)	N/A	An outline of the structure of the portfolio of the entity	Portfolio departments mandatory	N/A
17AE(2)	N/A	Where the outcomes and programs administered by the entity differ from any Portfolio Budget Statement, Portfolio Additional Estimates Statement or other portfolio estimates statement that was prepared for the entity for the period, include details of variation and reasons for change	If applicable, mandatory	N/A
<b>17AD(c) Report on the performance of the entity</b>				
<b>Annual performance statement</b>				
17AD(c)(i); 16F	Annual performance statement	Annual performance statement in accordance with paragraph 39(1)(b) of the Act and section 16F of the Rule	Mandatory	15
<b>17AD(c)(ii) Report on financial performance</b>				
17AF(1)(a)	Financial performance	A discussion and analysis of the entity's financial performance	Mandatory	43

PGPA Rule reference	Part of report	Description	Requirement	Page
17AF(1)(b)	Appendix A: Entity resource statements	A table summarising the total resources and total payments of the entity	Mandatory	102
17AF(2)	N/A	If there may be significant changes in the financial results during or after the previous or current reporting period, information on those changes, including: the cause of any operating loss of the entity; how the entity has responded to the loss and the actions that have been taken in relation to the loss; and any matter or circumstances that it can reasonably be anticipated will have a significant impact on the entity's future operation or financial results	If applicable, mandatory	N/A
<b>17AD(d) Management and accountability</b>				
<b>Corporate governance</b>				
17AG(2)(a)	Fraud measures	Information on compliance with section 10 (fraud systems)	Mandatory	50
17AG(2)(b)(i)	Letter of transmittal	A certification by accountable authority that fraud risk assessments and fraud control plans have been prepared	Mandatory	3
17AG(2)(b)(ii)	Letter of transmittal	A certification by accountable authority that appropriate mechanisms for preventing, detecting incidents of, investigating or otherwise dealing with, and recording or reporting fraud that meet the specific needs of the entity are in place	Mandatory	3
17AG(2)(b)(iii)	Letter of transmittal	A certification by accountable authority that all reasonable measures have been taken to deal appropriately with fraud relating to the entity	Mandatory	3



PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(2)(c)	Governance framework	An outline of structures and processes in place for the entity to implement principles and objectives of corporate governance	Mandatory	46
17AG(2)(d) – (e)	Significant non-compliance with finance law	A statement of significant issues reported to Minister under paragraph 19(1)(e) of the Act that relates to non compliance with Finance law and action taken to remedy non-compliance	If applicable, mandatory	56
<b>Audit committee</b>				
17AG(2A)(a)	Audit and Risk Committee	A direct electronic address of the charter determining the functions of the entity's audit committee	Mandatory	46
17AG(2A)(b)	Audit and Risk Committee	The name of each member of the entity's audit committee	Mandatory	47
17AG(2A)(c)	Audit and Risk Committee	The qualifications, knowledge, skills or experience of each member of the entity's audit committee	Mandatory	47
17AG(2A)(d)	Audit and Risk Committee	Information about the attendance of each member of the entity's audit committee at committee meetings	Mandatory	47
17AG(2A)(e)	Audit and Risk Committee	The remuneration of each member of the entity's audit committee	Mandatory	47
<b>External scrutiny</b>				
17AG(3)	External scrutiny	Information on the most significant developments in external scrutiny and the entity's response to the scrutiny	Mandatory	55
17AG(3)(a)	External scrutiny	Information on judicial decisions and decisions of administrative tribunals and by the Australian Information Commissioner that may have a significant effect on the operations of the entity	If applicable, mandatory	55

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(3)(b)	External scrutiny	Information on any reports on operations of the entity by the Auditor General (other than report under section 43 of the Act), a Parliamentary Committee, or the Commonwealth Ombudsman	If applicable, mandatory	55
17AG(3)(c)	N/A	Information on any capability reviews on the entity that were released during the period	If applicable, mandatory	N/A
<b>Management of human resources</b>				
17AG(4)(a)	Human resource management	An assessment of the entity's effectiveness in managing and developing employees to achieve entity objectives	Mandatory	57
17AG(4)(aa)	Appendix B: Human resources statistics	Statistics on the entity's employees on an ongoing and non-ongoing basis, including the following: (a) statistics on full-time employees (b) statistics on part-time employees (c) statistics on gender (d) statistics on staff location.	Mandatory	104
17AG(4)(b)	Appendix B: Human resources statistics	Statistics on the entity's APS employees on an ongoing and non-ongoing basis; including the following: <ul style="list-style-type: none"> <li>• statistics on staffing classification level</li> <li>• statistics on full-time employees</li> <li>• statistics on part-time employees</li> <li>• statistics on gender</li> <li>• statistics on staff location</li> <li>• statistics on employees who identify as Indigenous.</li> </ul>	Mandatory	104

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(4)(c)	Instruments of employment	Information on any enterprise agreements, individual flexibility arrangements, Australian workplace agreements, common law contracts and determinations under subsection 24(1) of the <i>Public Service Act 1999</i>	Mandatory	57
17AG(4)(c)(i)	Instruments of employment	Information on the number of SES and non-SES employees covered by agreements etc identified in paragraph 17AG(4)(c)	Mandatory	57
17AG(4)(c)(ii)	Appendix B: Human resources statistics	The salary ranges available for APS employees by classification level	Mandatory	104
17AG(4)(c)(iii)	Senior Executive Service remuneration	A description of non-salary benefits provided to employees	Mandatory	58
17AG(4)(d)(i)	N/A	Information on the number of employees at each classification level who received performance pay	If applicable, mandatory	N/A
17AG(4)(d)(ii)	N/A	Information on aggregate amounts of performance pay at each classification level	If applicable, mandatory	N/A
17AG(4)(d)(iii)	N/A	Information on the average amount of performance payment, and range of such payments, at each classification level	If applicable, mandatory	N/A
17AG(4)(d)(iv)	N/A	Information on aggregate amount of performance payments	If applicable, mandatory	N/A
<b>Asset management</b>				
17AG(5)	Asset management	An assessment of effectiveness of asset management where asset management is a significant part of the entity's activities	If applicable, mandatory	64

PGPA Rule reference	Part of report	Description	Requirement	Page
<b>Purchasing</b>				
17AG(6)	Purchasing	An assessment of entity performance against the <i>Commonwealth Procurement Rules</i>	Mandatory	64
<b>Reportable consultancy contracts</b>				
17AG(7)(a)	Contracts	A summary statement detailing the number of new reportable consultancy contracts entered into during the period; the total actual expenditure on all such contracts (inclusive of GST); the number of ongoing reportable consultancy contracts that were entered into during a previous reporting period; and the total actual expenditure in the reporting period on those ongoing contracts (inclusive of GST)	Mandatory	65
17AG(7)(b)	Contracts	A statement that ‘During [reporting period], [specified number] new reportable consultancy contracts were entered into involving total actual expenditure of \$[specified million]. In addition, [specified number] ongoing reportable consultancy contracts were active during the period, involving total actual expenditure of \$[specified million]’	Mandatory	65
17AG(7)(c)	Contracts	A summary of the policies and procedures for selecting and engaging consultants and the main categories of purposes for which consultants were selected and engaged	Mandatory	65

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(7)(d)	Contracts	A statement that 'Annual reports contain information about actual expenditure on reportable consultancy contracts. Information on the value of reportable consultancy contracts is available on the AusTender website'	Mandatory	65
<b>Reportable non-consultancy contracts</b>				
17AG(7A)(a)	Contracts	A summary statement detailing the number of new reportable non-consultancy contracts entered into during the period; the total actual expenditure on such contracts (inclusive of GST); the number of ongoing reportable non-consultancy contracts that were entered into during a previous reporting period; and the total actual expenditure in the reporting period on those ongoing contracts (inclusive of GST)	Mandatory	65
17AG(7A)(b)	Contracts	A statement that 'Annual reports contain information about actual expenditure on reportable non-consultancy contracts. Information on the value of reportable non-consultancy contracts is available on the AusTender website'	Mandatory	65
<b>17AD(daa)</b>	<b>Additional information about organisations receiving amounts under reportable consultancy contracts or reportable non-consultancy contracts</b>			
17AGA	Contracts	Additional information, in accordance with section 17AGA, about organisations receiving amounts under reportable consultancy contracts or reportable non-consultancy contracts	Mandatory	66, 67

PGPA Rule reference	Part of report	Description	Requirement	Page
<b>Australian National Audit Office access clauses</b>				
17AG(8)	Contracts	If an entity entered into a contract with a value of more than \$100,000 (inclusive of GST) and the contract did not provide the Auditor-General with access to the contractor's premises, the report must include the name of the contractor, purpose and value of the contract, and the reason why a clause allowing access was not included in the contract	If applicable, mandatory	66
<b>Exempt contracts</b>				
17AG(9)	Contracts	If an entity entered into a contract or there is a standing offer with a value greater than \$10,000 (inclusive of GST) which has been exempted from being published in AusTender because it would disclose exempt matters under the FOI Act, the annual report must include a statement that the contract or standing offer has been exempted, and the value of the contract or standing offer, to the extent that doing so does not disclose the exempt matters	If applicable, mandatory	66
<b>Small business</b>				
17AG(10)(a)	Procurement	A statement that '[Name of entity] supports small business participation in the Commonwealth Government procurement market. Small and medium enterprises (SME) and Small Enterprise participation statistics are available on the Department of Finance's website'	Mandatory	65

PGPA Rule reference	Part of report	Description	Requirement	Page
17AG(10)(b)	Procurement	An outline of the ways in which the procurement practices of the entity support small and medium enterprises	Mandatory	65
17AG(10)(c)	Procurement	If the entity is considered by the Department administered by the Finance Minister as material in nature—a statement that '[Name of entity] recognises the importance of ensuring that small businesses are paid on time. The results of the Survey of Australian Government Payments to Small Business are available on the Treasury's website'	If applicable, mandatory	65
<b>Financial statements</b>				
17AD(e)	Financial statements	Inclusion of the annual financial statements in accordance with subsection 43(4) of the Act	Mandatory	69
<b>Executive remuneration</b>				
17AD(da)	Appendix C: Executive remuneration statistics	Information about executive remuneration in accordance with Subdivision C of Division 3A of Part 2-3 of the Rule	Mandatory	108
<b>17AD(f)</b>	<b>Other mandatory information</b>			
17AH(1)(a)(i)	N/A	If the entity conducted advertising campaigns, a statement that 'During [reporting period], the [name of entity] conducted the following advertising campaigns: [name of advertising campaigns undertaken]. Further information on those advertising campaigns is available at [address of entity's website] and in the reports on Australian Government advertising prepared by the Department of Finance. Those reports are available on the Department of Finance's website'	If applicable, mandatory	N/A

PGPA Rule reference	Part of report	Description	Requirement	Page
17AH(1)(a)(ii)	Advertising and market research	If the entity did not conduct advertising campaigns, a statement to that effect	If applicable, mandatory	66
17AH(1)(b)	Grant programs	A statement that 'Information on grants awarded by [name of entity] during [reporting period] is available at [address of entity's website]'	If applicable, mandatory	66
17AH(1)(c)	Inclusion and diversity	Outline of mechanisms of disability reporting, including reference to website for further information	Mandatory	59
17AH(1)(d)	Freedom of information	Website reference to where the entity's Information Publication Scheme statement pursuant to Part II of FOI Act can be found	Mandatory	51
17AH(1)(e)	N/A	Correction of material errors in previous annual report	If applicable, mandatory	N/A
17AH(2)	Work health and safety, Environmental performance, Advertising and market research	Information required by other legislation	Mandatory	60, 62, 66



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